TONALITY, FORM, AND STYLISTIC FEATURES IN SERGEI RACHMANINOFF'S *ETUDES-TABLEAUX* , OP. 39

TONALITY, FORM, AND STYLISTIC FEATURES IN SERGEI RACHMANINOFF'S *ETUDES-TABLEAUX*, OP. 39

by

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TREATISE

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To the memory of my father and mother.

I wish to express my deepest appreciation to my wife, Pamela Prater, whose patience, encouragement, and support has been invaluable in the completion of this project. Also, my heartfelt thanks to Professor Roger Graybill for his steady guidance and expertise throughout these past two years.

PREFACE

Sergei Rachmaninoff's *Etudes-Tableaux*, Op. 39, written in 1916-17, are landmark works for the Russian composer. Having overcome a compositional drought twenty years earlier, caused mainly by the failure of his *First Symphony*, he had reached a high point with the Op. 39 etudes. However, the Bolshevik Revolution of 1917 forced Rachmaninoff to leave his beloved homeland and, in order to support his family, he subsequently subordinated his compositional career to that of a pianist.

Like the etudes of Chopin and Liszt, Rachmaninoff's *Etudes-Tableaux*, Op. 39, go beyond the role of being virtuosic display pieces. They are well-constructed, often formally complex tone paintings that project a variety of moods. Harmonically, Op. 39 typifies Rachmaninoff's late nineteenth-century chromatic style. Although a tonic-dominant polarity is the underlying source of tension, a good deal of harmonic ambiguity undermines this polarity. How Rachmaninoff establishes tonal areas while maintaining chromatic and/or non-functional harmony is one of the primary issues of this treatise. Other important compositional issues such as formal design and motivic development will also be examined.

Only a few analytical studies have been done on Rachmaninoff's music at the time of this writing. One plausible reason is that his overall historical status may be questionable; he has had little influence on other composers. Nevertheless, research efforts continue to increase in number. In addition to Sergei

Bertensson's and Jay Leyda's authoritative biography, *Sergei Rachmaninoff, A Lifetime in Music*, two new sources are Barrie Martyn's book, *Rachmaninoff, Composer, Pianist, Conductor* and Robert Palmieri's *Sergei Vasil'evich Rachmaninoff, A Guide to Research*. In addition, Glenn Winter's 1986 dissertation, "An Analysis of Sergei Rachmaninoff's Preludes, Op. 23 and Op. 32, and Etudes-Tableaux, Op. 33 and Op. 39," presents some interesting analytical material, though only some brief discussion of the latter. This treatise focuses on Op. 39, presenting more detailed analyses of each etude. The paper is divided into two chapters. Chapter One contains a biographical sketch of Rachmaninoff, a discussion of the precursors of Rachmaninoff's etude style, and a history of the *Etudes-Tableaux* ; Chapter Two gives analyses of the nine individual etudes in Op.39. A conclusion, a brief comparison of editions, and a discography appear towards the end of the paper. While it is not an absolute necessity, the reader is encouraged to refer to a score of the Op. 39 etudes in Chapter Two.

Although Rachmaninoff concentrated his efforts primarily on performing after 1917, the brilliant legacy of his concertizing will never overshadow his contributions as a composer. In addition to his works for solo piano and piano and orchestra, his output encompasses a wide range of genres, including operas, symphonic works, choral works, chamber music, songs, and numerous transcriptions for piano. Rachmaninoff's music is characterized by the utmost integrity and is rarely surpassed in its deep expression of the Russian temperament.

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CHAPTER ONE. HISTORICAL BACKGROUND

A Biographical Sketch of Rachmaninoff[1]

Sergei Rachmaninoff (1873-1943) entered the musical scene at a time when great changes were taking place. He began his musical studies at the St. Petersburg Conservatory at the age of nine. After making little progress, primarily due to a lack of motivation, his mother enrolled him at the Moscow Conservatory in 1885, where he studied piano with Zverev and his cousin Siloti, harmony with Arensky, and counterpoint with Taneyev. During his youthful career, Rachmaninoff's idol was Tchaikovsky, who felt Rachmaninoff had a very promising future. In 1891 Rachmaninoff passed his final piano examination with honors, and a year later he graduated from the Conservatory with the highest honor in composition, the Great Gold Medal.

Rachmaninoff enjoyed a good deal of success as a "Free Artist"for the next five years.[2] Among the more notable works during this early period are his one-act opera *Aleko*, the *First Piano Concerto*, the set of five piano pieces, Op. 3 (including the *C# Minor Prelude*), and the *Fantasy for Two Pianos*. However, in 1897 the dismal premiere of his *First Symphony* caused Rachmaninoff to go into a depression and a compositional drought; that same year he took a post as an

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[1]The primary sources used for this discussion include Bertensson's and Leyda's biography of Rachmaninoff (cited on p.16); John Culshaw's *Rachmaninov: The Man and His Music*, Barrie Martyn's *Rachmaninoff: Composer, Pianist, Conductor*, Geoffrey Norris's *Rakhmaninov*, and Oskar von Riesemann's, *Rachmaninoff's Recollections*, trans. by Dolly Rutherford.

[2]"Free Artist" was a title awarded to all the graduates of the Moscow Conservatory.

opera conductor. After being aided by the physician Dr. Nickolai Dahl in 1900, and the subsequent success of his *Second Piano Concerto* in 1901, Rachmaninoff's desire to compose returned. For the next sixteen years he would write most of his works, encompassing Op. 17 (the *Suite for Two Pianos*) through Op. 39 (*Nine Etudes-Tableaux*).

During this fruitful period, Rachmaninoff kept active as a conductor, directing the Bolshoi Opera Theater (1904-06) and, later, the Russian Musical Society Orchestra (Moscow, 1911-14); in addition, he was active as a performer, premiering many of his new works. In 1917 the Bolshevik Revolution forced Rachmaninoff and his family to leave Russia permanently.[3] From that point on, his career changed from being primarily a composer to that of a pianist. He would complete only six more major works during the remaining twenty-five years of his life.

In general, Rachmaninoff's compositional style belongs to the late nineteenth-century Russian lyrical-romantic category, being influenced mainly by Tchaikovsky and Rimsky-Korsakoff; two non-Russian influences include Chopin and Liszt. Rachmaninoff often borrowed ancient liturgical chants from the *Oktoechos* or created his own chants for the melodic material in several works; examples include the *First Symphony* and *All-Night Vigil*.[4] However, the chant

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[3]Rachmaninoff and his family fled first to Sweden in December of 1917; approximately one year later they moved to the United States.

[4]According to the *Harvard Dictionary of Music,* 2nd ed., Willi Apel, ed. (Cambridge: Harvard University Press, 1974), the *Oktoechos* is a body of ancient Syrian and Byzantine Chant that corresponds to the system of modes of Roman Chant. Rachmaninoff studied these chants under Stepan Smolensky, his

Rachmaninoff used most often is rooted in the Catholic Church, the *Dies irae* funeral chant; it appears prominently in many of his works, including the *Isle of the Dead*, *The Bells*, the *Etude-Tableau in A Minor* (Op. 39, no. 2), and the *Rhapsody on a Theme of Paganini*. Throughout much of his life Rachmaninoff was obsessed with death and fatalism. This obsession seemed to manifest itself in his recurring use of the *Dies irae,* as well as in his preference for minor keys.

Another eerie image that appears frequently within much of Rachmaninoff's music is the depiction of Russian church bells. Rachmaninoff described this influence in his reminiscences:

> The sound of church bells dominated all the cities of the Russia I used to know--Novgorod, Kiev, Moscow. They accompanied every Russian from childhood to the grave, and no composer could escape their influence. . . . . one of my fondest childhood recollections is associated with the four notes of the great bells in the St. Sophia Cathedral of Novgorod. . . The four notes were a theme that recurred again and again, four silvery weeping notes, veiled in an everchanging accompaniment woven around them. Many years later I composed a Suite for two pianos. . . For the third movement, prefaced by Tiutchev's poem, "Tears", I knew at once the ideal theme--and the cathedral bells of Novgorod sang again.[5]

Other examples of works in which Rachmaninoff depicts Russian church bells include the *C# Minor Prelude*, Op. 3, the *Etudes-Tableaux in F Minor*, Op. 33, no. 1 and in *C Minor,* Op. 39, no. 7, and, of course, in his choral symphony, *The Bells*.

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professor of church music at the Moscow Conservatory, and subsequently dedicated his *All-Night Vigil* to his memory.

[5]Sergei Bertensson and Jay Leyda, *Sergei Rachmaninoff, A Lifetime in Music* (New York: New York University Press, 1956), 184.

Although Rachmaninoff's compositional style seems to have undergone very little change, one can detect some subtle tendencies. According to the Rachmaninoff biographer, Barrie Martyn, two traumatic events in Rachmaninoff's life mark turning points in his compositional career: the failure of his *First Symphony* (1897) and his sudden departure from Russia (1917).[6] Rachmaninoff's first style period, from 1886-97, is characterized by youthful imitation and experimentation; the many genres he would later use are represented--concertos, operas, symphonies, songs, and solo piano works. His second style period encompasses the years 1897-1917 and includes most of his greatest works, the *Second and Third Concertos*, *The Bells, Isle of the Dead*, two sets of *Preludes* and *Etudes-Tableaux* for piano, and the *All-Night Vigil*. During the years 1906-1909 Rachmaninoff spent some time in Dresden so that he could work without interruption; while there he composed the *First Piano Sonata* and the *Second Symphony*. Although several of the compositions of this period are still marked by flowing lyricism, his style began to change somewhat around 1909. According to Martyn:

> ...after Rachmaninoff's return from Dresden a steady development did take place: the characteristically luxuriant lyricism begins to give way to a terser style, and there is a definite movement towards greater chromaticism in the writing. A comparison between the Preludes of 1910 and the two sets of Etudes-Tableaux (1911 and 1916), no less than between the two sets of songs, Op. 34 [1912] and Op. 38 [1916], immediately makes this clear.[7]

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[6]Barrie Martyn, *Rachmaninoff. Composer, Pianist, Conductor* (Brookfield, VT: Gower Publishing Co., 1990), 22-23.

[7]Ibid., 24.

Rachmaninoff's last style period, from 1917-43, comprises the six works he composed while in self-imposed exile; perhaps the two of greatest significance are the *Corelli Variations* for piano, Op. 42 (1931), and the *Rhapsody on a Theme of Paganini*, Op. 43 (1934). In general, the works of Rachmaninoff's later style tend to have more of an eclectic, rather than an intensely Russian, quality. Another tendency is evident in his works for piano and orchestra: orchestral textures are refined in order to achieve a better balance between soloist and orchestra. Rachmaninoff's inability to compose prolifically during this period may be attributed to his busy performance schedule. Another probable reason is that he longed for his homeland:

> Perhaps it is that I am lazy; perhaps the incessant practice and eternal rush inseparable from life as a concert artist takes too much toll of my strength; perhaps I feel that the kind of music I care to write is not acceptable today. And perhaps my true reason for adopting the life of an interpreter rather than that of a creator in recent years is none of these. For when I left Russia, I left behind me my desire to compose: losing my country I lost myself also. To the exile whose musical roots, traditions and background have been annihilated, there remains no desire for self-expression.[8]

Rachmaninoff's achievements as a pianist are too numerous to discuss in this overview. Suffice it to say that his recordings, many of which are unsurpassed even by today's standards, prove that he was one of the greatest pianists who ever played the instrument. Furthermore, as a conductor, Rachmaninoff had also attained international recognition.[9] In his reminiscences Rachmaninoff once

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[8]Ibid., 26. Quoted in an interview with Norman Cameron in *The Monthly Musical Record* (Nov., 1934), 201.

[9]In 1899 Rachmaninoff made his international debut as a conductor in London, and during his American tour in 1909 he conducted in several major cities in the United States; in addition, he later refused two offers to direct the

commented that, "in venturing into too many fields, I may have failed to make the best use of my life. In the old Russian phrase, I have 'hunted three hares'. Can I be sure that I have caught one of them?"[10] It would be safe to say that, in the course of his life, he caught all three.

Precursors of Rachmaninoff's Etude Style

The term "etude" (derived from the French word *étude*, which means 'study' or 'time of preparation') began appearing in the late eighteenth century to designate musical compositions with a specific pedagogic aim. These pieces typically contained at least one recurring technical problem in combination with a musical or interpretive difficulty. The gradual transformation of the piano etude from essentially a practice piece (i.e. one that is intended to develop a particular pianistic skill) to an artistic work suitable for public performance occurred between 1800 and 1830. Two of the most important composers in the early history of the etude were Muzio Clementi (1752-1832) and Johann Cramer (1771-1858). Clementi's *Gradus ad Parnassum* and Cramer's *Studio per il Pianoforte* (which includes the well-known 84 studies) laid the groundwork for the vast number of composers of piano etudes and piano methods who

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Boston Symphony. Regrettably, after leaving Russia Rachmaninoff's conducting career essentially came to an end.

[10]Martyn., xiii.

followed.[11] These composers were simply filling the overwhelming demand for short, instructive piano pieces in the early nineteenth century, which was initiated, in part, by the growing popularity of the piano.

Around 1820, according to the musicologist P.F. Ganz, the etude began to fall into various categories, such as the 'school etude', which was intended for beginners and dilettantes; Carl Czerny was one of the most prolific composers of etudes of this type. Another category included the athletically oriented, often musically shallow 'virtuoso etudes', which were written and performed by traveling virtuosos such as Ignaz Moscheles, Sigismond Thalberg, and Adolph Henselt, to name but a few.[12] Since a further investigation of the early history of the etude is beyond the scope of this paper, the discussion will now focus on the more immediate precursors of Rachmaninoff's etude style.

Frederic Chopin (1810-49) transformed piano technique and brought new artistic ideals to the piano etude genre. His two sets of *12 Etudes*, Ops. 10 and 25 published in 1833 and 1837, respectively, and the *Three New Etudes* (written in 1840 for Moscheles and Fétis's *Method of Methods*) combine innovative technical challenges with a variety of interpretive problems. Among the several new pianistic features his etudes contained were constant wide extensions (Op. 10, no. 1 and Op. 25 no. 1), the use of primarily black keys for an entire piece

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[11]Although Clementi did not label his pieces in *Gradus* 'etudes' as such, many of them exhibit etude-like characteristics since they contain a recurring technical problem combined with interpretive difficulties.

[12]P. Felix Ganz, "The Development of the Etude for Pianoforte" (Ph. D. diss., Northwestern University, 1960), 176. For a more comprehensive study of the early history of the piano etude, the reader should consult this source.

(Op. 10, no.5), a wide range of rhythmic complexities (such as constant syncopations and three against four), and an improvisational approach to a cantabile melodic line. Although Chopin's etudes do not include every type of technical problem (e.g. tremolos, and broken octaves are omitted), they do contain almost everything Chopin used in his other piano works. Chopin believed that the fingers (including the thumb, which he considered the strongest and the freest) operated according to their own individual size and shape. He also stressed the cultivation of touch, the control of hearing, a variety of attack, and the predominance of legato.[13] Chopin's etudes only occasionally require extensive amounts of arm weight, unlike the subsequent etude works of Liszt and Rachmaninoff, which often demand from the player a massive production of sound.

Structurally, Chopin uses ternary form for his etudes and most may be described as 'monothematic' (i.e. they utilize the same melodic or figurational material throughout). In his book, *The Music of Chopin*, Jim Samson explains that, in some of Chopin's studies, even texture (i.e. figuration) exhibits thematic qualities at times:

> Elsewhere in Op. 25 the intricate counterpoint of fragmentary elements which characterises Op. 10 No. 7 is taken further. In Op. 25 No. 3 we have not one figurative pattern but a combination of four elements which nevertheless allow a melodic profile to emerge on the surface of the texture. . . . Texture and sonority *per se* achieve a compositional significance in some of the studies which almost equals that of harmony and theme. Texture acquires unique value as an element of Chopin's mature style, and its

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[13]Jean-Jacques Eigeldinger, *Chopin: pianist and teacher* (Cambridge: Cambridge University Press, 1986), 32.

> characterisation through register, dynamics and articulation becomes all-important.[14]

The few exceptions include Op. 10, no. 3 and Op. 25, nos. 5 and 10, which contain strongly contrasting middle (B) sections. In his other etudes Chopin achieves contrast through a more subtle means, such as a change of tonality, dynamics, or mood. The B sections of these etudes are often characterized by rapidly changing harmonies, a slight varying of the opening melodic material (such as fragmentation), and an increase in sequential passages, all of which combine to create a sense of tonal instability. These tendencies may have prompted musicologist Gerald Abraham to describe the middle sections of Chopin's etudes as "miniature development sections."[15] Some particularly striking examples are the B sections of Op. 10, nos. 1, 2, and 8, and Op. 25, nos. 2 and 3. The concept of 'departure and return', inherent within a ternary form, is thus evident in Chopin's studies; this quality is also important in Rachmaninoff's etudes. However, Rachmaninoff often elaborates on the return aspect by treating it as a dramatic event; this will be discussed in the forthcoming analyses.

A compositional device used extensively by Chopin throughout his etudes is the sequential treatment of material. This procedure can be traced to Chopin's

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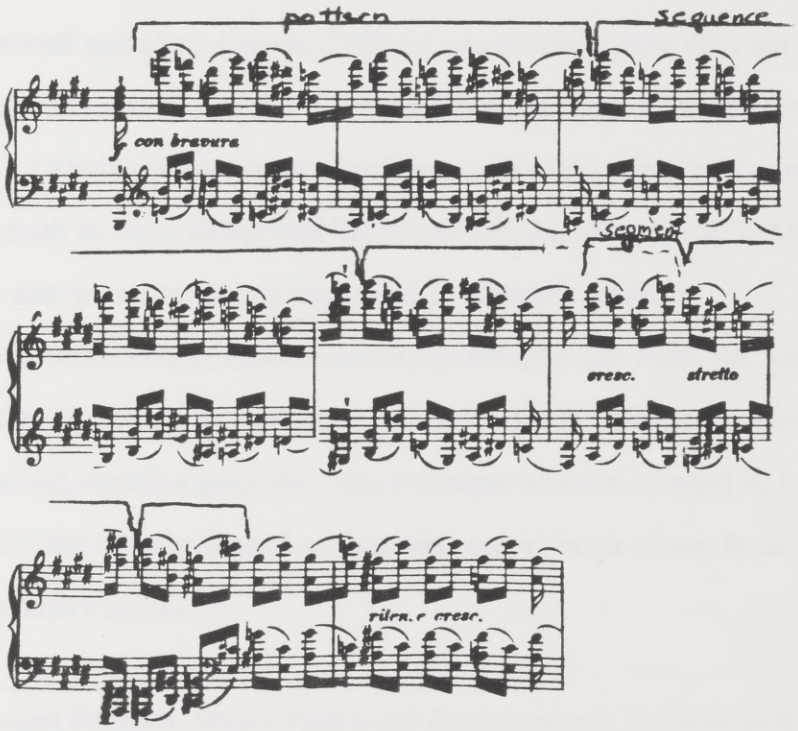
[14]Jim Samson, *The Music of Chopin* (London: Routledge & Kegan Paul, 1985), 73.

[15]Gerald Abraham, *Chopin's Musical Style* (London: Oxford University Press, 1939), 40.

fondness of the music of Johann Sebastian Bach.[16] An interesting sequential passage appears in Chopin's *Etude in E Major*, Op. 10, no. 3; example one shows that Chopin breaks down a long sequential pattern into shorter fragments that are also sequenced. Rachmaninoff also employs an abundance of sequential passages, as well as this procedure of 'sequential fragmentation', throughout his etude works (specific examples will be cited in Chapter Two).

Example 1 (F. Chopin: *Etude in E Major*, Op. 10 no. 3, mm. 46-52, used by permission of CPP/Belwin, Inc.)



[16]Ibid., 61-65. Samson cites several qualities within some of Chopin's etudes that are similar to those within specific works of J.S. Bach, though he fails to mention their abundant use of sequences.

In general, further influence of Chopin on Rachmaninoff is revealed in Rachmaninoff's solo performing repertoire, which contained many of Chopin's compositions.[17] Both composers exhibit a highly idiomatic approach in their piano writing, exploring a wide range of textures, figurations, sonorities, and nuances, and both refrained from attaching programmatic titles to their individual etudes.[18] Moreover, Rachmaninoff based his first large-scale solo paino work, the *Variations on a Theme by Chopin*, Op. 22, on a work by Chopin, the *C Minor Prelude* from Op. 28. In an interview with *Etude* magazine in 1931, Rachmaninoff said about Chopin: "When I was nineteen years old I felt his greatness; and I marvel at it still. . . he remains for me one of the greatest of the giants."[19] Chopin's influence on other composers of piano etudes extended well past his death in 1849; along with Rachmaninoff, Arensky, Scriabin, Stravinsky, Debussy and Szymanowski all owe much to Chopin's models.

Robert Schumann's (1810-56) most significant etude work, the *Symphonic Etudes*, Op. 13, should be mentioned, primarily due to Schumann's novel use of the theme and variation principle. This technique was also adopted by Liszt and Brahms for use in their respective 'Paganini etudes', but is absent from Rachmaninoff's etudes.

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[17]Robert Palmieri, *Sergei Vasil'evich Rachmaninoff. A Guide to Research* (New York: Garland Publishing, Inc., 1985), 71-72.

[18]Although Rachmaninoff did not give individual titles to his etudes, his designation "tableau" is a clue to their often picturesque, fantasy-like nature; several years later he disclosed the explicit programatic content of five of the *Etudes-Tableaux* to Respighi (to be discussed later).

[19]Bertensson and Leyda, 279.

In contrast to Chopin's compact, monomotivic, non-programmatic approach are the large-scale etude works of Franz Liszt (1811-86). Throughout his career, Liszt experimented with a multitude of textures and colors on the piano; this tendency is reflected in his etudes, several of which he revised numerous times. An example is his set of twelve *Transcendental Etudes*, perhaps Liszt's most important collection, which were published in three different versions (1826, 1837, and 1852, respectively). In the final version (1852) Liszt assigned programmatic titles to all but two of the etudes. Pianistically, the *Transcendental Etudes* contain nearly all of the technical devices within Liszt's formidable arsenal, including the extensive use of octave passages and double-note runs, cadenza-like flourishes consisting mainly of rapid scale runs over the entire keyboard, expansive rolled chords, recitative-like insertions, and numerous rhythmic complexities. Perhaps the most prevalent feature, as pointed out by F.E. Kirby, "consists of a melody that might have cantabile elements in it moving in slow and frequently even notes and that is accompanied by extremely rapid virtuoso figuration [usually some sort of a tremolo figure]."[20]

The *Transcendental Etudes* contain a variety of formal treatments, with several displaying a kind of free, fantasy-like design. For example, etude no. 8 (*Wilde Jagd*) displays characteristics of both ternary and sonata forms.[21] In contrast, *Feux-Follets* (no. 5) contains essentially the same thematic/motivic

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[20]F.E. Kirby, *A Short History of Keyboard Music* (New York: MacMillan Publishing Co., Inc., 1966), 305.

[21]The sonata form trait in this etude is illustrated by a contrasting key and thematic area that later returns and is transposed to the tonic major key.

material throughout, and thus, exhibits monothematic tendencies. Some of the etudes, like *Ricordanza*, open with an introductory passage that sets the mood for the piece; in addition, the first study, entitled *Preludio*, is improvisatory and very brief, serving mainly as an introduction for the entire collection. Liszt employs his technique of thematic transformation in several of these etudes, restating melodic material with a variety of accompanimental settings.[22] In *Vision* (no. 6) this results in a sense of constant growth, both in texture and in volume. Liszt's large-scale approach to the etude was to be cultivated by Rachmaninoff (especially in his Op. 39 collection) and various other late nineteenth-century Russian composers who will be discussed later. Liszt's other principal etude collections include the two versions of the *Grand Etudes after Paganini Caprices*, three *Concert Etudes*, and the two etudes for Lebert and Stark's *Piano School* (1863), *Gnomenreigen* and *Waldesrauschen* .

During Liszt's concertizing in Russia (c. 1842, 1843, and 1847) it is likely that he performed some of the *Transcendental Etudes* on one of his recitals.[23] While there he also became friends with the Russian composer Mily Balakirev (1837-1910), who was the leader (and principal composer of piano music) of the Russian nationalist group, the so-called 'Mighty Handful'.[24] Liszt was an ardent

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[22]The concept of 'thematic transformation' is somewhat misleading since the melodic material itself is not altered; instead, the melody appears in a new accompanimental setting, which often changes its character or mood.

[23]Alan Walker, *Franz Liszt. The Virtuoso Years*, 1811-1847 , vol. 1 (New York: Alfred A. Knopf, Inc., 1983), 445-48. Walker lists Liszt's performing repertoire between 1838-48, which contained Liszt's etudes.

[24]The five members of the 'Mighty Handful' included Balakirev, Borodin, Cui, Mussorgsky, and Rimsky-Korsakoff.

supporter of the Russian nationalist movement, though it had essentially run its course by the time Rachmaninoff reached maturity as a composer. Stylistically, Rachmaninoff was to pursue a more cosmopolitan approach.

In the mid to late nineteenth-century, Russian composers who continued the piano etude tradition drew from the models that had been established earlier by Chopin and Liszt. Of special interest is the Russian pianist, teacher, and composer, Anton Rubinstein (1829-94), who studied piano with Villoing in Moscow and composition in Berlin with Dehn. Rubinstein, a pianistic rival of Liszt, composed two main etude collections, the *Six Etudes*, Op. 23, and the *Six Etudes,* Op. 81. Like Liszt, Rubinstein employs a large-scale approach in his studies, but often maintains a more simple ternary plan. Although he was quite prolific as a composer, Rubinstein's works rarely attain the artistic level as those of Liszt. Perhaps more significant is the fact that, in addition to bringing Western compositional techniques to Russia, Rubinstein promoted the idea of creating music conservatories in all major Russian cities. In 1859 he founded the Russian Musical Society and, in 1862 founded the St. Petersburg Conservatory.[25] The youthful Rachmaninoff, like most Russian pianists, emulated Rubinstein's playing and performed for him in a student recital at the Moscow Conservatory.

The *Transcendental Etudes* by the lesser-known Russian composer, Sergei Lyapunov (1859-1924) are also Lisztian in conception. Lyapunov, who studied

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[25]Anton Rubinstein's younger brother, Nicolai, founded the Moscow branch of the Russian Musical Society, which became the Moscow Conservatory in 1864.

composition with Tchaikovsky, Taneyev, and Balakirev, was very much attracted to the nationalist movement in Russia. Lyapunov composed his twelve *Transcendental Etudes* (c. 1900) primarily as a tribute to Liszt, in order to complete the sequence of keys that Liszt had begun in his own *Transcendental Etudes*. Lyapunov's pieces are large-scale in design and they contain a variety of technical problems, several of which appear in Liszt's studies. These include constant wide stretches and wide leaps, cadenza insertions, an abundance of octave passages, and rapid arpeggiations and double-note runs. The most Lisztian of the set is no. 12, which is entitled "Élegie en mémoire de Francois Liszt." In keeping with Liszt's practice, Lyapunov gave descriptive titles to each of his etudes, such as "Chant epique" (no. 8) and "Nuit d' été" (no. 5). Number three, entitled "Carillon", is a depiction of Russian church bells, which, as noted earlier, is an important image in the music of Rachmaninoff. Whether Rachmaninoff was acquainted with Lyapunov's *Transcendental Etudes* is uncertain, though Rachmaninoff's performing repertoire did not include them.[26]

More Chopinesque in design are the piano etudes by Anton Arensky (1861-1906). Arensky, the harmony teacher of Rachmaninoff and Scriabin, composed several collections of short piano pieces, including two etude sets, the *Four Studies*, Op. 41, and the *Twelve Studies*, Op. 74. In comparison to his two famous pupils' etudes, Arensky's are, for the most part, less virtuosic and shorter (especially than Rachmaninoff's). However, they do display a compositional trait

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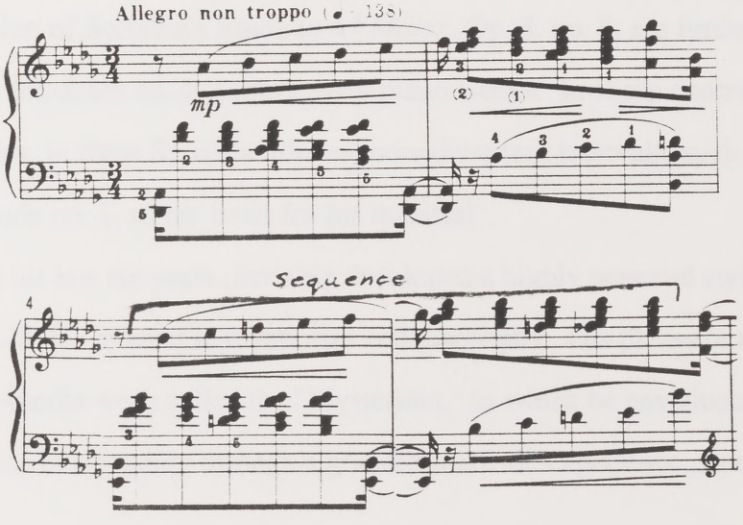
[26]Lyapunov's music is absent from Rachmaninoff's solo performing repertoire that is listed in Robert Palmieri's *Guide to Reasearch* (cited earlier).

that Rachmaninoff and Scriabin were to inherit (previously traced to Chopin and, ultimately, to J.S. Bach), the extensive use of sequential passages; an example occurs in the opening of the *Etude in D♭ Major*, Op. 74, no. 3 (see ex. 2).

Characteristically Russian are Arensky's colorful harmonic progressions and preference for exotic keys (i.e. E♭ minor, D♭ major). Moreover, augmented chords and other chromatically altered harmonies appear frequently in his etudes. Structurally, most are either in one-part or ternary plans and, like Chopin's, most display monothematic tendencies. Although Arensky's etudes are on a smaller scale than those of Rachmaninoff, they should be given more attention by today's performers.

The etude works of Alexander Scriabin (1872-1915) are compact and stylistically diverse. Scriabin, who was Rachmaninoff's peer at the Moscow

Example 2 (A. Arensky, *Etude in D♭ Major,* Op. 74, no. 3, mm. 1-4, used by permission of CPP/Belwin, Inc.)



Conservatory, earned a reputation as a concert pianist early in his career and the virtuosic elements within his etudes attest to his skill. In all, Scriabin composed twenty-six etudes. These are included in his three main collections, the *Twelve Etudes*, Op. 8 (pub. 1894), *Eight Etudes*, Op. 42 (1903), and *Three Etudes*, Op. 65 (1911-12), along with three others from Ops. 2, 49, and 56, respectively.

In general, Scriabin's etudes are shorter than those of Rachmaninoff. Formally, Scriabin prefers either one-part or ternary designs that stress continuity rather than contrast; in this respect, they follow Chopin's monothematic models. As previously mentioned, Scriabin, like Arensky, widely uses sequential passages throughout his etudes; his *D♯ Minor Etude*, Op. 8, no. 12, for example, contains several. In regard to harmonic language, Scriabin passed through various phases during the course of his career. His etudes illustrate his progression from a typical nineteenth-century tonal idiom in Op. 8 towards a nearly atonal approach in Op. 65. Improvisatory, dream-like passages like the middle section of Scriabin's *Etude in A♭ Major,* Op. 8. no. 8, are further evidence of Chopin's influence on Scriabin's early piano works. In sharp contrast are the Op. 65 etudes; in these Scriabin utilizes more dissonant intervals, such as major ninths in etude no. 1, as the basis for his material.

During his last six years, Scriabin developed a highly personal style that coincided with his interest in mysticism and theosophy. His plans for a large-scale, multi-media work called the "Mysterium," in which he envisioned the transcendence of humanity through a grandiose artistic experience, were never

realized due to his sudden death in 1915. In Scriabin's memory, Rachmaninoff performed a series of concerts devoted to his music; however, these were not entirely successful due to criticisms of Rachmaninoff's interpretation. Although Rachmaninoff's respect for Scriabin's music is documented, it is doubtful that Scriabin's philosophical and later compositional tendencies influenced him to any extent.[27] Nor did other important etude sets written at the turn of the century, such as those by Stravinsky, Debussy, and Szymanoski, have a great impact on Rachmaninoff. Rachmaninoff's own personal etude style emerged essentially from the prototypes established by Chopin and Liszt.

A History of the *Etudes-Tableaux* , Op. 33 and Op. 39

The *Etudes-Tableaux* or, literally, "study-pictures", are well-constructed pieces that allowed Rachmaninoff to display the full range of his pianistic capabilities. Rachmaninoff first considered using the title "tableau" for his *Fantasy for Two Pianos*, Op. 5, of 1893. The first set of *Etudes-Tableaux* (Op. 33) was composed in 1911, one year after the Op. 32 *Preludes*. Originally there were to be nine etudes in Op. 33, but Rachmaninoff withdrew numbers three, four, and five before its joint publication by Gutheil and Breitkopf and Härtel in

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[27]Bertensson and Leyda, 283. In a 1931 conversation with the composer and theorist Joseph Yasser concerning various twentieth-century composers' techniques, Rachmaninoff was quoted as saying, "Well, Scriabin-that was a quite special case."

1911-12.[28] Rachmaninoff later revised the fourth etude (in A Minor) and placed it in Op. 39 as no. 6; numbers three in C Minor and five in D Minor were later published posthumously by Muzgiz in 1948. Rachmaninoff also extracted material from these latter two etudes which he used in later works. For instance, material from no. 3 was used in the *Fourth Piano Concerto,* and material from no. 4 appears in the *First Piano Sonata.*

The nine *Etudes-Tableaux*, Op. 39, were written in 1916-17 and first published in 1917 by Édition Russe de Musique. Rachmaninoff first performed them in an unfinished version in November, 1916, in Petrograd. The Op. 39 etudes were Rachmaninoff's last major work before his departure from Russia in 1917 and his last solo piano work until the *Corelli Variations*, Op. 42, in 1931. In his biography of Rachmaninoff, Oskar von Riesemann described the Op. 39 etudes as "majestic, alfresco pictures which surprised everyone by their novel style."[29] Early reviews, such as the one below, suggest that Op. 39 was initially well-received:

> In the *Etudes*, opus 39, Rachmaninoff appears in a new light. The soft lyricist begins to employ a more severe, concentrated, and deepened mode of expression. We noticed a dramatic mood, in the E-flat minor *étude*, and even a demoniac one in the F-sharp minor, the best of the group! Some significant change has taken place in this interesting creative talent, and we shall doubtless witness new vistas that are thus opening to the composer. . .[30]

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[28]In order to maintain international copyright protection, Gutheil enlisted the aid of the Breitkopf and Härtel firm (Leipzig); a brief history of Rachmaninoff's publishers appears in Appendix B.

[29]Oskar von Riesemann, *Rachmaninoff's Recollections*, trans. by Dolly Rutherford (New York: Macmillan Co., 1934), 183.

[30]Quoted in Bertensson and Leyda, 201, from a review by Tyuneyev in the *Russkaya Muzykalnaya Gazeta* (Dec. 11, 1916).

The recurring dark undertones throughout these pieces may be attributed to the concurrent events in Rachmaninoff's life: the deaths of his father (1916), his counterpoint teacher, Taneyev (1915), his friend and colleague, Scriabin (1915), along with the impending Russian Revolution.

Rachmaninoff often had programmatic ideas for his works, but was rarely willing to disclose them publically. When asked about the inspiration for the Op. 33 etudes, Rachmaninoff told a reporter, "Ah, that is for me and not for the public. I do not believe in the artist disclosing too much his images. Let them paint for themselves what it most suggests."[31] A possible extra-musical source for the *Etudes-Tableaux* may have been paintings by the Swiss artist, Arnold Böcklin, which had already inspired Rachmaninoff for his tone poem, *Isle of the Dead* and the *B Minor Prelude*, Op. 32, no. 10 (the latter was inspired by Böcklin's *The Return*). Oskar von Riesemann suggests that Böcklin's *Morning* and *Waves* may have inspired the etudes in G minor, Op. 33, no. 8 (mislabeled as Op. 39 by Riesemann) and in C minor, Op. 39, no. 1, respectively.[32] After Serge Koussevitsky requested that Ottorino Respighi orchestrate five of the *Etudes-Tableaux* in 1930, Rachmaninoff revealed their programmatic content to Respighi in a letter:

> The first Etude in A minor (Op. 39, No. 2) represents the Sea and Seagulls. (This program was suggested by Mme. Rachmaninoff).
> The second Etude in A minor (Op. 39, No. 6) was inspired by the tale of Little Red Riding Hood and the Wolf.
> The third Etude in E♭ major (Op. 33, No. 4) is a scene at a Fair.

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[31]Ibid., 218.
[32]Riesemann, 236-37.

> The fourth Etude in D major (Op. 39, No. 9) has a similar character, resembling an oriental march.
>
> The fifth Etude in C minor (Op. 39, No. 7) is a funeral march. . . The initial theme is a march. The other theme represents the singing of a choir. Commencing with the movement in 16ths in C minor and a little further on in E♭ minor a fine rain is suggested,incessant and hopeless. This movement develops, culminating in C minor--the chimes of a church. The Finale returns to the first theme, a march.[33]

In comparison to the earlier Op. 33 set of 1911, the Op. 39 etudes are generally longer and structurally more complex. Whereas the forms in Op. 33 tend to be more compressed, with most of the etudes conforming either to one-part or short ABA' designs, the Op. 39 etudes are primarily in longer ternary settings, some even exhibiting sonata-form characteristics. Both sets of etudes display a good deal of virtuosic tendencies but, overall, Op. 39 is somewhat more technically demanding.

In keeping with genre characteristics, Rachmaninoff's studies combine various technical complexities with interpretive problems. A few examples are the simultaneous use of legato and staccato touches in the same hand (Op. 33, no. 1 and Op. 39, no. 9), the balancing of a melody over a densely chordal texture (Op. 33, no. 1, Op. 39, nos. 5 and 7), the simultaneous layering of melody, counter-melody, and accompaniment (Op. 39, nos. 2 and 4), changing double-notes in legato touch for the right hand (Op. 39, no. 8), rhythmic, staccato chordal passages (Op. 39, nos. 4 and 9), and the projection of a melody within a texture of rapid repeated notes (Op. 39, nos. 4 and 6). Perhaps the most prevalent feature within Rachmaninoff's piano writing, particularly in his etudes,

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[33]Bertensson and Leyda, 262-63.

is the use of massive sonorities which require wide hand extensions over long durations of time. Undoubtedly, Rachmaninoff's extremely large hand-span enabled him to execute these reaches with little difficulty.

As discussed earlier, Rachmaninoff owes much to the etude models of Chopin and Liszt. Although Chopin's monothematic approach is, for the most part, abandoned by Rachmaninoff in favor of greater sectional contrast, the concept of departure and return is of great importance to both composers.[34] However, as mentioned, Rachmaninoff often treats the return as a dramatic event; he typically achieves this by increasing textures and virtuosic elements. For example, in the *C Minor Etude-Tableau*, Op. 39, no. 1, the opening material returns with an added leaping bass line counter-melody in octaves; more examples will be discussed in the next chapter. Also as noted previously, Rachmaninoff and Chopin rely greatly on sequential passages; however, Rachmaninoff often treats his in a somewhat freer manner, which will be discussed in the forthcoming analyses.

Occasionally some of Rachmaninoff's etudes are even reminiscent of certain works by Chopin. For example, the ending of Rachmaninoff's *Etude-Tableau in G Minor*, Op. 33, no. 7 recalls the end of Chopin's *Ballade No. 1 in G Minor*. Another example occurs in the *Etude-Tableau in A Minor,* Op. 39, no. 2; like Chopin's *A Minor Prelude*, Op. 28, Rachmaninoff's etude contains a *Dies irae*

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[34]Some exceptions are the *Etudes-Tableaux in C Major*, Op. 33, no. 2 and in *E♭ Minor*, Op. 33, no. 5, which, like many of Chopin's studies, utilize consistent figurational and/or motivic material throughout.

fragment as an underlying motive throughout; also note that, in these two examples, both pieces share the same tonality. Furthermore, Rachmaninoff's *Etude-Tableau in C Minor*, Op. 39, no. 1, displays similar pianistic and compositional characteristics to Chopin's *C Major Etude*, Op. 10, no. 1.

Liszt's influence on Rachmaninoff is essentially manifested in the large-scale and sometimes complex formal plans in most of Rachmaninoff's *Etudes-Tableaux*. The element of contrast is important to both; however, whereas Liszt's treatment of thematic/motivic material often gives an impression of constant evolution, Rachmaninoff maintains a definite sense of return. Perhaps the most Lisztian of Rachmaninoff's studies are the last etude of Op. 33 (in C♯ minor), due to its declamatory style, abundance of octaves, and demonic spirit, and the seventh etude of Op. 39, due to its highly programmatic nature. A pervasive element in Liszt's and Rachmaninoff's etude works is virtuosity; both composers treat the piano in a completely orchestral manner. However, in contrast to Liszt's often excessive exploitation of pianistic athletics, Rachmaninoff uses virtuosic effects primarily as a means to fulfill the dramatic requirements of the music.

Some mention should be made about the cyclic nature of Rachmaninoff's *Etudes-Tableaux*; this tendency can also be traced to the etude sets by Liszt and Chopin.[35] Although Rachmaninoff's etudes do not follow a particular key

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[35]Liszt had originally intended to compose 24 *Transcendental Etudes*, each representing a different key (as mentioned, this cycle was later completed by Lyapunov). The cyclic nature of Chopin's Op. 10 collection, which to some extent also follows a sequence of keys, is discussed by Samson (in *The Music of Chopin*).

scheme, other factors contribute to their unity as a whole, especially in Op. 39. For example, the first eight etudes of Op. 39 share the use of the minor mode and, in general, they all project a dark mood. Yet each piece is remarkably unique, disclosing a different facet of Rachmaninoff's melancholy nature. The last etude of the set, no. 9 in D major, provides some welcome relief from the intensely somber atmosphere. It is likely that Rachmaninoff conceived of each of his collections of *Etudes-Tableaux* as a single unit, since he performed each in their entirety at one time or another. However, on several occasions he also performed various individual etudes from the two sets.[36] Although both of these options are available, the extraordinary technical demands of each piece prohibit many pianists from attempting such a feat. In any case, the *Etudes-Tableaux* allow the listener a rare glimpse at Rachmaninoff's innermost ideas and are among the last etudes for piano composed essentially in the nineteenth-century Romantic tradition.

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[36]According to Robert Threlfall's and Geoffrey Norris's *Catalog of the Compositions of Sergei Rachmaninoff* (London: Scolar Press, 1982), one of the etudes most frequently performed by Rachmaninoff was the *A Minor Etude-Tableau*, Op. 39, no. 6.

CHAPTER TWO. ANALYSES OF RACHMANINOFF'S *ETUDES-TABLEAUX,* OP. 39

Rachmaninoff's Use of Tonality in Op. 39

In the *Harvard Dictionary of Music* , second edition, tonality is defined as:

> Loyalty to a tonic, in the broadest sense of the word. One of the most striking phenomena of music is the fact that, throughout its evolution--in non-Western cultures, in Gregorian Chant, and in harmonized music--practically every single piece gives preference to one tone (the tonic), making this the tonal center to which all other tones are related. . .
> The means of achieving tonality have greatly varied throughout history. . .[1]

This broad definition readily applies to Rachmaninoff's late nineteenth-century chromatic harmonic language. Although a tonic-dominant polarity is the primary underlying source of harmonic tension, this polarity is undermined in various ways, as will be discussed later.

In the *Etudes-Tableaux*, Op. 39, Rachmaninoff establishes tonal areas primarily in three ways. The first way is through a dominant chord or some sort of altered dominant chord; although conventional dominant chords occur frequently in Op. 39, there are several examples of dominant harmonies that contain a raised fifth (augmented, see ex. 3) or a lowered fifth, and extended tertian dominant harmonies (i.e. with added ninths, elevenths, etc.). The second way Rachmaninoff establishes tonalities is through the reiteration or assertion of a chord or tone (e.g. bass pedal points, see ex. 4). The third way is through chromatic voice leading that ultimately arrives at a goal (see ex. 5). It should be

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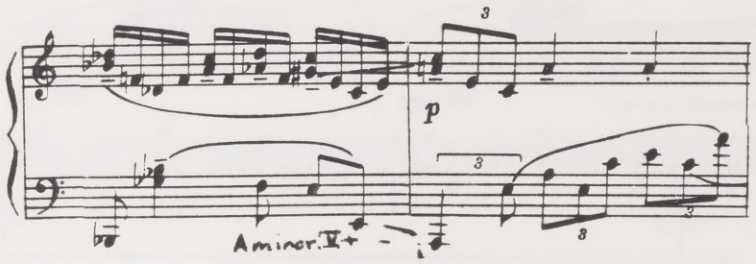
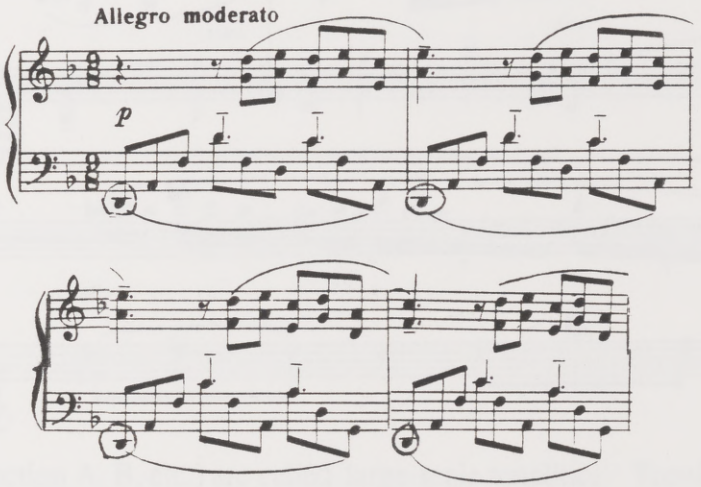
[1]Willi Apel, ed., *Harvard Dictionary of Music*, 2d ed., s.v. "Tonality."

Example 3 (etude no. 6, mm. 109-110)[2]



Example 4 (etude no. 8, mm. 1-4)



noted that, in most cases, chromatic voice leading in itself is not sufficient to establish a tonality; it must work in conjunction with one of the first two methods.

Rachmaninoff uses tonal areas in the Op. 39 etudes either to articulate formal sections, or as secondary tonal areas within these sections. In the following analyses, tonal areas that occur at key structural points (i.e. at the beginning of

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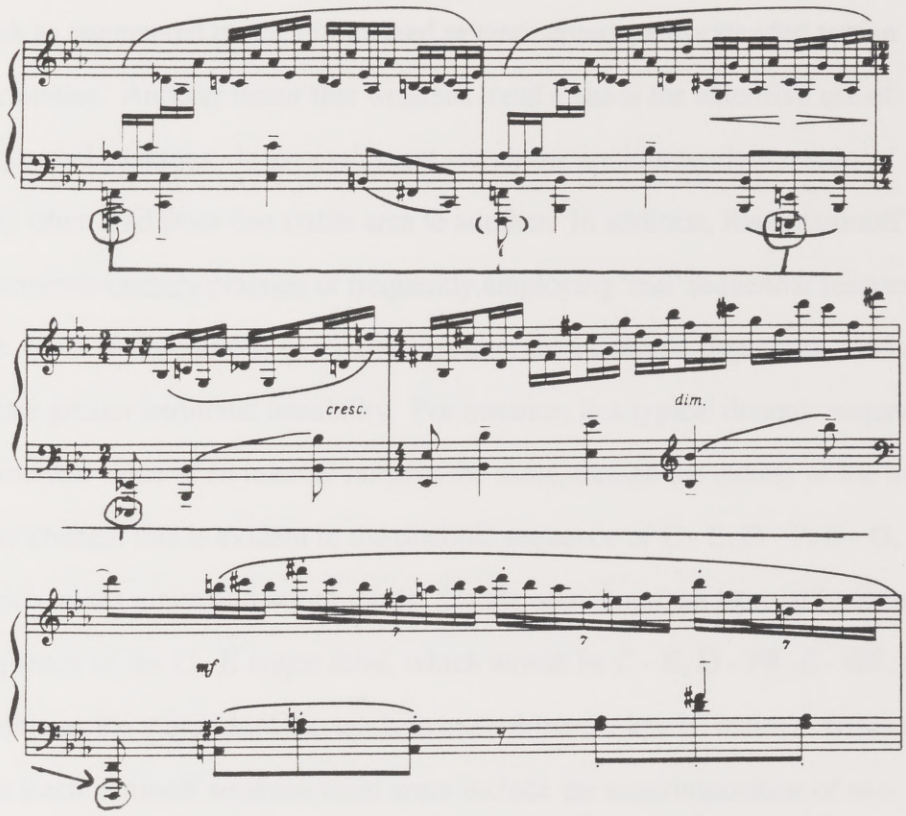
[2]All musical examples that appear in Chapter Two are from Sergei Rachmaninoff's *Etudes-Tableaux*, Op. 39, and are used by permission of Dover Publications, Inc.

Example 5 (etude no. 1, mm. 21-25)



each large section A, B, etc.) are called 'large-scale tonalities'. Tonal areas that occur within the large sections are called 'secondary tonalities' or 'secondary areas'. Although both types of tonal areas become established through the same three methods described above, the large-scale tonalities tend to carry greater weight. In general, secondary areas are often brief, less sustained, and mainly provide a passing color within the larger harmonic framework.

The stability of these tonal areas, whether large-scale or secondary, is undermined in various ways by Rachmaninoff. For example, throughout the

Op. 39 etudes there is an abundance of harmonies that are inherently ambiguous, such as augmented triads, diminished seventh chords, and extended tertian harmonies. Another factor that weakens tonal areas is the extensive use of sequential passages. In general, most sequences are inherently transitional since they often lead from one stable area to another. In addition, Rachmaninoff's late nineteenth-century practice of frequently employing 'real' sequential restatements (i.e. exact transpositions of a pattern), rather than diatonic sequences, tends to create greater harmonic instability. For instance, in a typical diatonic sequence the numerical value of an interval remains the same, though the quality of the interval may change; this is evident in the diatonic sequence of C - E, D - F, E - G, etc., which mixes major and minor thirds. On the other hand, an intervallically exact sequence of the C - E major third, which would be C - E, D - F♯, E - G♯, etc., maintains the major third but tends to undermine the key (C major). Other ways that Rachmaninoff weakens tonal areas include the superimposition of two harmonies, the juxtaposition of two tonal areas, or through an absence of functional tonality.

Throughout these pieces Rachmaninoff also foreshadows large-scale tonalities and some of the more important secondary areas by emphasizing a particular harmony, such as through register, accent, and stepwise linear approach. Often these harmonies gain greater significance later in the piece. This type of foreshadowing prepares and highlights the subsequent arrival of these tonalities and secondary areas.

Etude No. 1

As mentioned earlier, a possible source of inspiration for Rachmaninoff's *Etude-Tableau in C minor*, Op. 39, No. 1, may have been Arnold Böcklin's painting entitled *Waves*. The agitated, turbulent mood of the piece is not unlike that of a raging sea-storm. Constant sixteenth-note figuration in the right hand propels the music forward, thus, qualifying it as a 'perpetuum mobile.' In this respect it is similar to Chopin's first etude of Op. 10 (in C major). Furthermore, both pieces contain bass line motion that, when combined with their respective figurational/motivic material, helps to articulate tonal areas; and, pianistically, both studies deal with right-hand extensions. However, in terms of formal design and overall mood, Rachmaninoff's first etude of Op. 39 has little in common with Chopin's C-major etude.

In this etude Rachmaninoff makes extensive use of chromatic voice leading, primarily in the bass, to arrive at harmonic areas. These tonal areas are emphasized and stabilized through bass note reiteration or pedal points. Another prevalent feature within Rachmaninoff's first etude of Op. 39 is the sequential and 'quasi-sequential' treatment of material, which helps to provide momentum throughout the piece. While a typical sequence is a repetition of a melodic pattern on a different pitch level (i.e. either real or diatonic), a 'quasi-sequence' retains essentially the basic contour of the original pattern while altering some of the numerical intervallic relationships. Rachmaninoff's sequential and quasi-

sequential treatment of material and the manner in which he prepares and establishes tonal areas will be discussed after an examination of the form.

The overall form of the first etude may be described as an elaborate ABA'; figure 1a outlines the structure in detail. The structure of this etude has two

FIGURE 1a (form, large-scale tonalities, and secondary areas of etude no. 1)

SECTION A (mm. 1-24)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
1-11	F minor	
12-18		G minor
19-24: Transition		Unstable; descending chromatic bass motion.

SECTION B (mm. 25-45)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
25-26	D major	
27-28	(D minor)	
29-30		D♭ major
31-32		D♭ minor
33-45: Retransition		V/F minor; bass pedal C.

(Continued)

FIGURE 1a (Continued)

SECTION A' (mm. 46-end)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
46-52	F minor	
53-66: Internal Transition		Unstable
53-57		Ascending chromatic bass motion.
57-58		vii°7/C minor begins to prepare tonality of C minor.
59-66		V/C minor; bass pedal G.
67-end	C minor	

unusual features. First, although the piece concludes in C minor and has a key signature of three flats, it actually opens in F minor. Second, while the etude is essentially a ternary form, it also exhibits sonata-form tendencies. This is due to the transposition of the material in mm. 12ff., originally stated in G minor, down a fifth to C minor (tonic key) in mm. 67ff. Despite this hint of sonata form, however, a ternary interpretation is preferable. Wallace Berry's book, *Form in Music,* describes simple ternary form:

> . . . the principal structural function of the second part is to provide contrast--a sense of departure as a prelude to the restatement of the original thematic

> material in the tonic key. In the simple ternary, the second part is frequently based on the same motivic material as Part I. In such cases there will be contrast of general melodic contour, of texture, of key, or of some other kind. In most cases there is at least contrast of key level.[3]

In this piece mm. 25-45 contrast with the material preceding and following it and, thus, act as a B section within a ternary structure. Two factors distinguish this B section. First, the arrival on D major in m. 25 creates a new mood since it is the first lengthy appearance of the major mode within the piece. Second, the opening right-hand motive is transformed; it becomes essentially a falling figure rather than a rising one and, rhythmically, falls into seven-note groupings rather than six.

Let us now examine the principal tonal areas within the piece. As was mentioned previously, the piece concludes in C minor and has a key signature of three flats, though it actually opens in the tonality of F minor, which is established through the reiteration of octave bass F's at the beginning of mm. 1-3 and mm. 6-8 (downbeats). In addition, the principal harmony of these first six measures is an F minor chord. Bass note C's preceding the F's in mm. 2 and 7-8 act as single-note dominants to further emphasize F minor.

In mm. 8-9 Rachmaninoff moves away from F minor by utilizing a sequential passage, stated in octaves, in the bass. The secondary area of G minor arrives in m. 12, prepared in m. 11 by block chords that move chromatically over an octave bass D. The tone D acts as a single-note dominant of G that moves to

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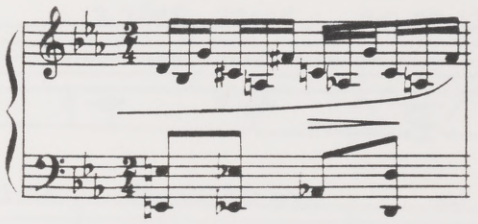
[3]Wallace Berry, *Form in Music: An examination of traditional techniques of musical structure and their application in historical and contemporary styles.* (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1966), 65.

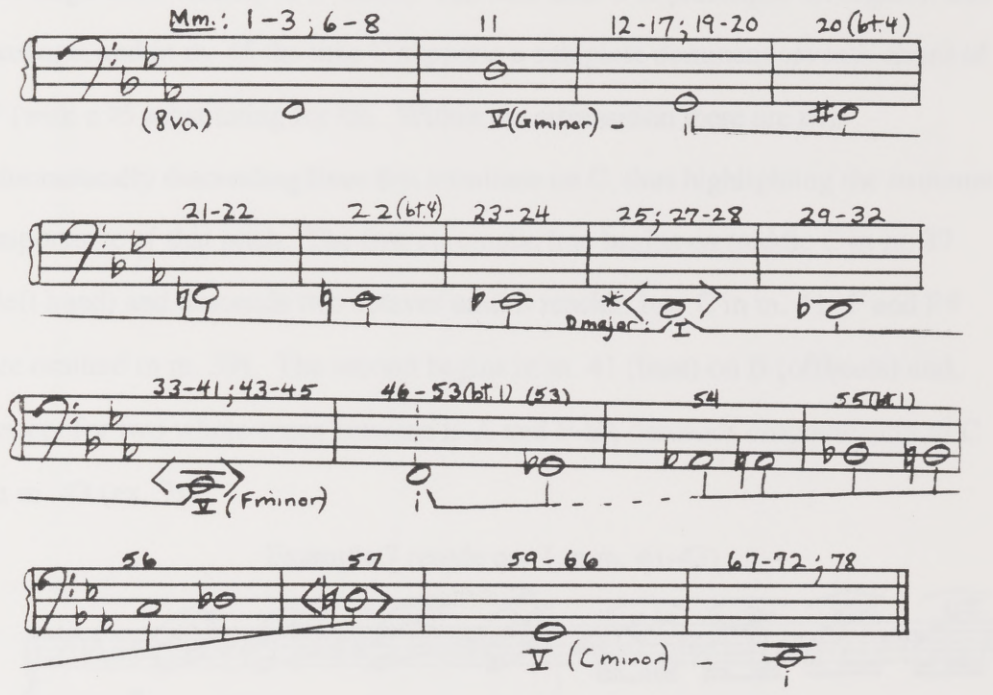
an octave G in m. 12. The G minor area is further emphasized by reiterated bass note G's in mm. 12-16 (beats 1 and 3), and in mm. 17 and 19 (downbeats). A brief appearance of a complete dominant seventh of G in m. 18 (second half of beat two) also reinforces G minor (ex. 6).

Example 6 (etude no. 1, m. 18)



After restating the opening material up a step in m. 19, Rachmaninoff immediately begins moving away from G minor through a chromatically descending bass line. Figure 1b traces the bass line motion throughout the etude. The bass descends from G in m. 19, to F♯ in m. 20, F in m. 21, E in m. 22, E♭ in mm. 23-24, and finally to D in m. 25. Since mm. 19-24 lead away from one tonality (the secondary area of G minor) and towards another (the large-scale tonality of D major), the passage acts as a transition that links section A to section B. The next large-scale tonality, D major, articulates the beginning of section B. Unlike the earlier G minor area, D major is not prepared by its own dominant; rather, the area is set up by the chromatically descending bass line of mm. 19-25. D major is quickly established as a tonal area since it immediately follows an area of harmonic instability (mm. 19-24) and because it appears with distinct triadic harmony. In m. 27 the introduction of an F natural changes the mode from major

FIGURE 1b (bass line and tonal areas of etude no. 1)



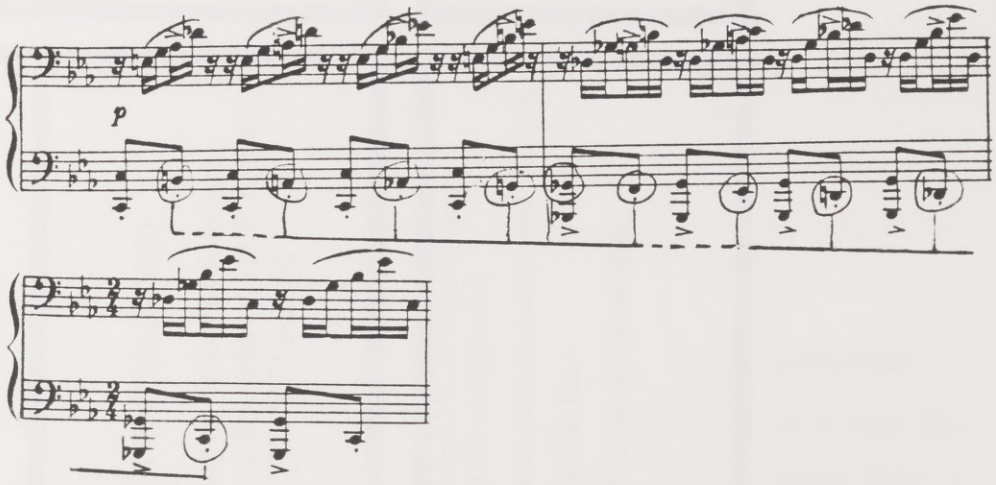
* <> Indicates a harmonic arrival point.

to minor. The next secondary areas, approached through a continuation of the chromatic bass descent, are D♭ major and D♭ minor in mm. 29-30 and 31-32, respectively. This material is a short sequential treatment of the material in mm. 25-28, transposed down a semitone.

Thus far we have traced a chromatically descending bass line from the G in m. 19 to D♭ in mm. 29-32. This bass line culminates with the arrival of the bass note C at the beginning of m. 33. The arrival on C in m. 33 (refer to figure 1b)

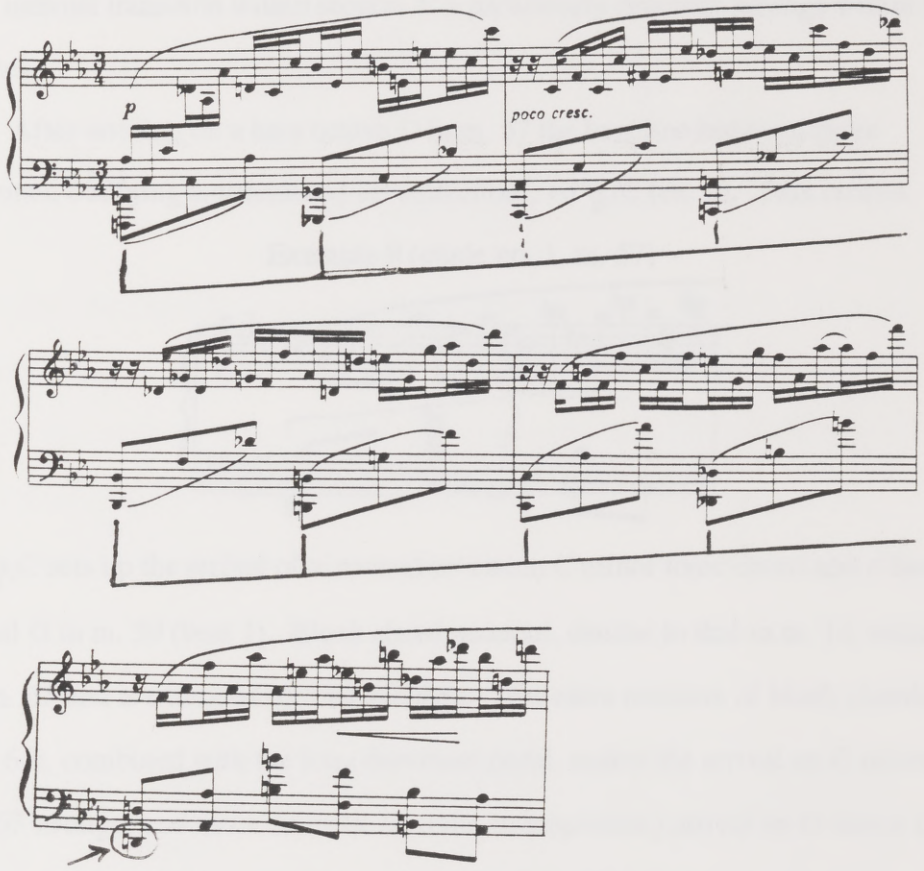
marks the beginning of a retransition that prepares the return of A (section A') and the large-scale tonality of F minor. The bass note C is prolonged throughout this passage, and in m. 45 the tone C supports a complete dominant seventh chord of F (with a ♭5 substituting for ♮5). Within the retransition there are two chromatically descending lines that terminate on C, thus highlighting the structural importance of that pitch. The first chromatic line begins on middle C in m. 37 (left hand) and descends two octaves until it reaches low C in m. 41 (F and F♯ are omitted in m. 39). The second begins in m. 41 (bass) on B (offbeats) and, except for two whole-tones between B-A and F-E♭, descends chromatically to C in m. 43 (ex. 7).

Example 7 (etude no. 1, mm. 41-43)



Another example of a chromatic bass line leading to a harmonic arrival point occurs within section A', mm. 53-57 (see ex. 8). In this particular case, an

Example 8 (etude no. 1, mm. 53-57)

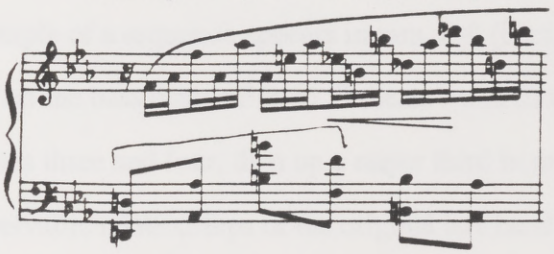


ascending bass line appears rather than a descending one. It begins on bass octave F in m. 53 and, except for one whole-tone interval (G♭ to A♭ in mm. 53-54), rises chromatically until it ends on D in m. 57 (refer to figure 1b). This rising chromatic bass in mm. 53-57 is combined with rising quasi-sequential material in the treble. Rhythmically, Rachmaninoff introduces a three-four meter in m. 53, which can also be perceived as a shift to six-eight time due to the phrase

groupings of three eighths in the left hand. All of these factors combine to make this internal transition within section A' a particularly dramatic passage within the piece.

After arriving on a bass octave D in m. 57 the bass line becomes more disjunct, outlining a diminished seventh chord, vii°$\frac{6}{5}$/C (ex. 9). This broken

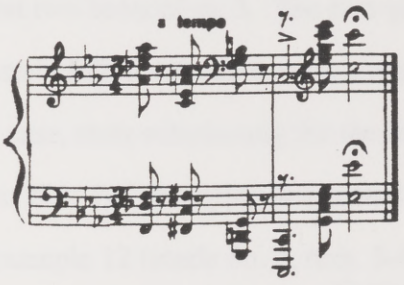
Example 9 (etude no. 1, m. 57)



vii°$\frac{6}{5}$/C sets up the arrival of a second inversion C minor tonic chord and a bass pedal G in m. 59 (beat 1). Block chord material, similar to that in m. 11, returns in m. 65 and is extended for one measure. This extra measure of block chords (m. 66), combined with the long dominant pedal, makes the arrival on C minor in m. 67 stronger and more dramatic than the corresponding arrival on G minor in section A (mm. 11-12). The large-scale tonality of C minor in section A' is reinforced through bass note reiteration in mm. 67-72. In m. 74 another series of rising block chords begins that ultimately leads to a closing cadence in m. 77. This cadence consists of a Neapolitan 6 - vii°7/V - V7 - i progression in C minor and confirms C minor as the home tonality (see ex. 10).

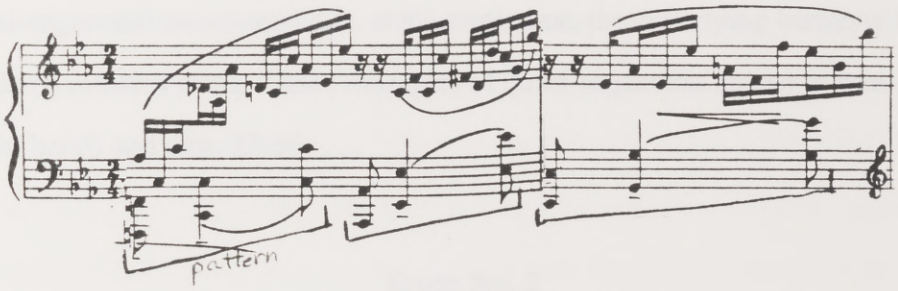
An important compositional device used by Rachmaninoff throughout this piece to create momentum is the sequential and quasi-sequential treatment of

Example 10 (etude no. 1, mm. 77-78)



material. An example of a sequence appears in mm. 8-9 (bass). A two-beat pattern that starts on the bass octave F in m. 8 (beats 1 and 2) is restated up a minor third on beats three and four, then up a major third in m. 9. Example 11 shows that the intervallic relationships of the original left-hand pattern are maintained in the sequence. Another literal sequence appears in the treble of mm. 61-63.

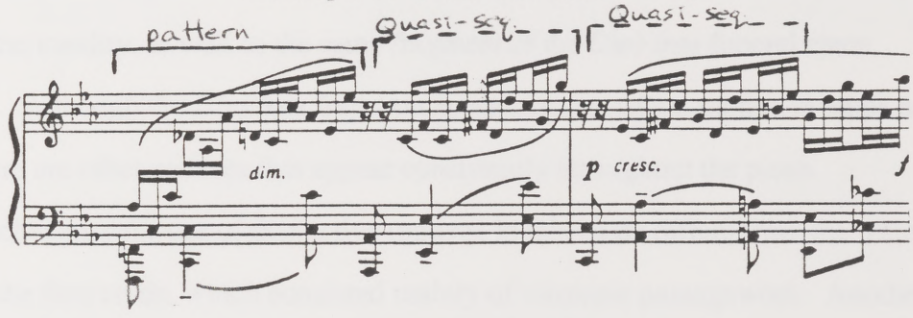
Example 11 (etude no. 1, mm. 8-9)



Appearances of strict sequential treatments like the two above are rare, however. More typically, Rachmaninoff treats his material in a freer, 'quasi-sequential' manner. As previously discussed, a quasi-sequence closely resembles a sequence because the overall contour of the original pattern remains intact. Like a literal sequence, a quasi-sequence can provide momentum and build drama

within the piece. One example of a quasi-sequence appears in mm. 3-4; the pattern consists of the first two beats of m. 3. The two quasi-sequential restatements that immediately follow contain several altered intervallic relationships and, in this case, rests substituting for the first two sixteenth notes of the original pattern (ex. 12). Another quasi-sequential passage occurs in

Example 12 (etude no. 1, mm. 3-4)



mm. 19-22 as measure 19 is restated, in altered form, in mm. 20, 21, and 22. In mm. 25-28 and mm. 29-32 the seven-note groupings in the right hand undergo quasi-sequential treatment while, at the same time, the underlying harmony in the left hand remains static. Other examples of quasi-sequences appear in mm. 41-42 (right hand) and mm. 53-56.

Etude No. 2

As mentioned in Chapter One, the *Etude-Tableau in A minor*, Op. 39 no. 2, is one of the five etudes that Rachmaninoff chose to be orchestrated by Respighi in 1930. Rachmaninoff described it to Respighi as "representing the Sea and the

Seagulls (this program was suggested by Mme. Rachmaninoff)."[4] The sombre, atmospheric mood of the piece differs greatly from the constant agitation of the first etude. In the *A minor etude* slow moving triplet figures, perhaps evoking the undulating sea, appear in the left hand throughout, accompanying a spacious melody in duplets in the right hand. As previously mentioned, this piece is similar to Chopin's *Prelude in A minor*, Op. 28 no. 2; the two works share the same tonality, as well as the same fragment of the *Dies irae* funeral chant.

Although the *Dies irae* fragment is the most prevalent motive in etude no. 2, there are other motives that appear consistently throughout the piece. Rachmaninoff's use of distinctive motives in this etude differs from the material in the first etude, which consisted mainly of virtuosic passagework. Another new feature is the more frequent appearance of extended tertian harmonies, such as ninth chords. These help to sustain the atmospheric mood within the piece. Elements the first two etudes share include the use of chromatic voice leading and a good deal of sequential and quasi-sequential passages.

As was true of the first etude, the second etude is a ternary form. Figure 2 outlines the form, large-scale tonalities, and secondary areas within the piece. Dominant chords occuring at structural points help to articulate the ABA' form in this piece. Like the middle B section of etude no. 1, mm. 50-59 of the second etude provide contrast with the first extended appearance of major mode. Furthermore, in m. 50ff. there is contrast of register with the *Dies irae* motive

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[4]Bertensson and Leyda, 262-63.

appearing primarily in the low register for the first time. The *Dies irae* motive also becomes the primary melodic material in section B.

FIGURE 2 (form, large-scale tonalities, and secondary areas of etude no. 2)

SECTION A (mm. 1-49)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
1-8	A minor	
9-25	Unstable	
*14-17		**C major
18-21		E minor
26-28	A minor (reinforced)	
29-48	Unstable	
35-41		G minor
42-43		F major
49		V9 (third omitted) of C major.

(Continued)

*While the passage spanned by mm. 9-25 is unstable when considered in its entirety, within this context there are fleeting moments of stability (in brackets).

**This early emphasis on C major foreshadows the appearance of the large-scale tonality of C major at the beginning of section B.

FIGURE 2 (Continued)

SECTION B (mm. 50-102)

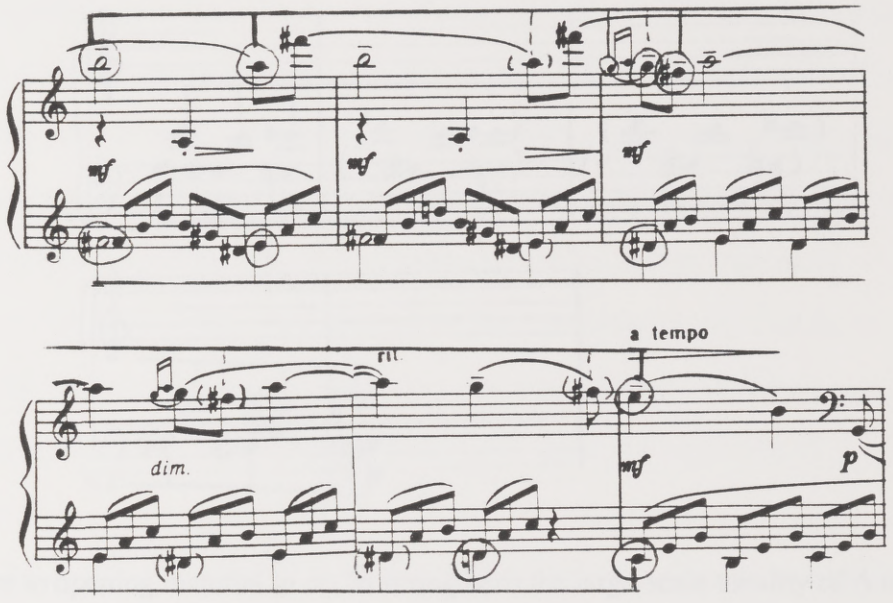
Measure Nos.	Large-Scale Tonalities	Secondary Areas
50-59	C Major	
60-97	Unstable	
60-70		C♯ minor
72-76		D minor
80-82		E minor
84-87		F♯ minor
88-97		E major
98-102: Retransition		V/A minor

SECTION A' (mm. 103-end)

103-end	A minor

Etude no. 2 clearly opens in the tonality of A minor as the left hand states the *Dies irae* within an A minor tonic harmony (mm. 1-7, left hand). In m. 8 the chromatically altered tones D♯ and F♯ weaken the opening tonality somewhat and begin to suggest the key of E minor. Following an area of harmonic instability in mm. 9-13, the secondary tonality of C major arrives in m. 14; it is approached through descending stepwise motions in the right hand, B--E, and left hand, F♯--C (see ex. 13). It should be noted that the transposition of the falling fifth bass motive from mm. 3-4 (E-A) down a sixth to G-C in mm. 14-15 also reinforces

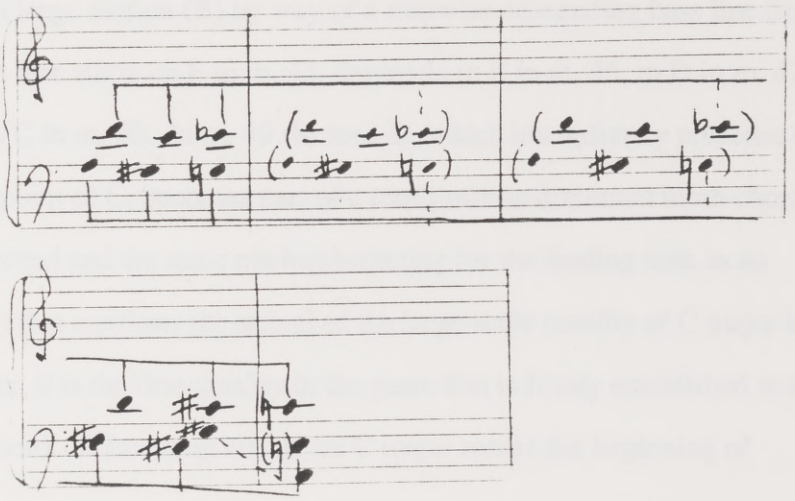
Example 13 (etude no. 2, mm. 9-14)



the secondary area of C major; Rachmaninoff's use of motives will be discussed later.

In m. 18 the secondary tonality of E minor, which was first suggested in m. 8, gains greater importance. In this case, it is approached by the chromatic leading tone, D♯, in the treble of m. 17. However, the E minor area lasts only four measures. In m. 22 another unstable area begins that leads chromatically to a return of the large-scale tonality of A minor in m. 26. This chromatic voice leading begins in the left hand (m. 22) with a D minor second inversion triad and chromatically descends to a C♯ first inversion triad at the end of m. 25; in mm. 25-26 the C♯ triad leads chromatically to an A minor chord (see ex. 14). This

Example 14 (extracted from etude no. 2, mm. 22-26)



return to opening material in m. 26 strengthens the large-scale tonality of A minor within section A.

Following this brief return Rachmaninoff immediately begins moving away from A minor with the appearance of the chromatically altered tones C♯ and B♭ (m. 29) within a diminished seventh harmony on C♯ (fifth omitted); this diminished seventh harmony is prolonged until m. 34. In m. 35 the secondary area of G minor arrives, foreshadowed by a G pedal (lowest voice in the left hand) in mm. 33-34. The material in mm. 35-41 is a sequential restatement of mm. 26-34, down a step, with material from mm. 29-31 omitted. Measures 35-36 are then restated down a step to F major in mm. 42-43. Spanning all three sequential statements is a descending chromatic line in the soprano that starts on high B (m. 26), and ends on G in m. 42.

In mm. 43-48 Rachmaninoff begins moving towards the tonality of C major and the next large section (B) by way of a stepwise descending bass line (right hand). This line starts on F in m. 43, descends to E in m. 45, to D in m. 47, until it arrives on C in m. 50. In m. 49 the tone D, which immediately precedes this destination point of C, becomes part of a root position dominant ninth chord (with the third omitted and the tonic pitch substituting for the leading tone as an anticipation) that confirms the arrival of the large-scale tonality of C major in m. 50; moreover, it is the first tonality in the piece that is firmly established with a dominant chord. This strong arrival on C major marks the beginning of section B.

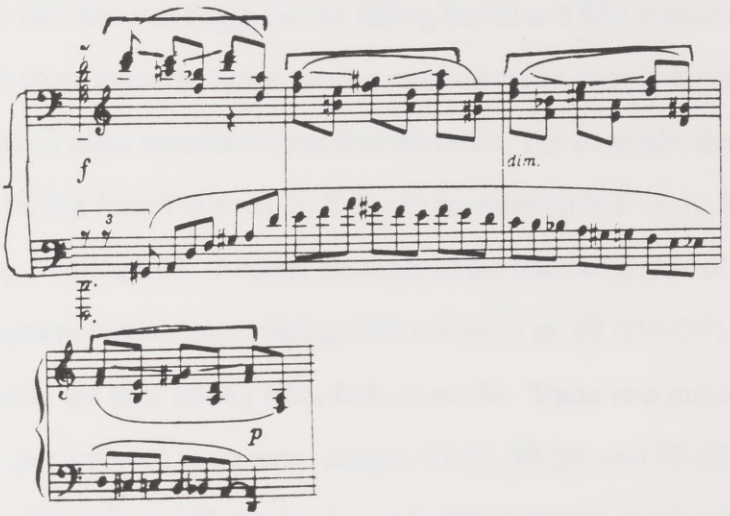
Like section A, section B passes through several secondary areas (see figure 2). In m. 60 an area of C♯ minor arrives through a bass line that ascends chromatically from a pedal C in mm. 50-59 to C♯ in m. 60. D minor arrives in a similar fashion (i.e. through a chromatically rising bass line) in m. 72 as mm. 60-63 are sequentially restated up a semitone in mm.72-75. In mm. 76-87 Rachmaninoff begins a series of quasi-sequential treatments of the *Dies irae* motive in order to lead to various secondary areas. The motive begins on D in m. 76 (left hand), moves up a third to F with the last note altered (mm. 77-78), and then up a step to G (again with the last note altered). The statements on F and G are combined with a dominant seventh of C in the right hand (mm. 77-79). However, instead of resolving to C major, the G7 chord cadences deceptively on E minor in m. 80.

After arriving on E minor, The *Dies irae* motive again moves sequentially towards other secondary areas. Measures 80-83 is an altered restatement of the material from mm. 76-79, up a whole-tone. In m. 83 a dominant seventh (V_7) of D appears and, like the V_7 of C in m. 79, resolves deceptively to an F♯ minor harmony in m. 84. However, the material in F♯ minor in mm. 84-87 does not correspond exactly to the previous two statements in D minor and E minor; here the *Dies irae* motive is quasi-sequentially restated up a major sixth to D♯ in m. 85 (previously, in the statements in D minor and E minor, it had been restated up a minor third). In mm. 85-87 Rachmaninoff begins moving towards the secondary tonality of E major with the *Dies irae* motive. It appears in mm. 86-87 (left hand, notes with stems up) and concludes on the pitch B, which supports a dominant seventh of E (fifth omitted) in m. 87. This chord resolves to an E major harmony in m. 88, the last secondary area in the piece. E major lasts until m. 98, where the appearance of a D♮ (beats 1 and 3) transforms the E major harmony into a dominant seventh chord of A minor. Since the passage from mm. 98-102 prolongs the dominant harmony of A minor, it acts as a retransition. The return of section A (A') occurs in m. 103, and A minor remains in effect until the end of the piece.

In addition to leading to secondary tonal areas, the *Dies irae* motive also articulates the beginning of each large structural section (A, B, retransition, and A') and, in general, acts as an ostinato throughout the piece. At times, it appears in an altered version, as in mm. 14-15, where the interval of a third, C-A, is

changed to a fourth, C-G. In addition, the motive appears in a shortened, rhythmically disguised form in the soprano in mm. 60-63 and 72-75 (ex. 15).

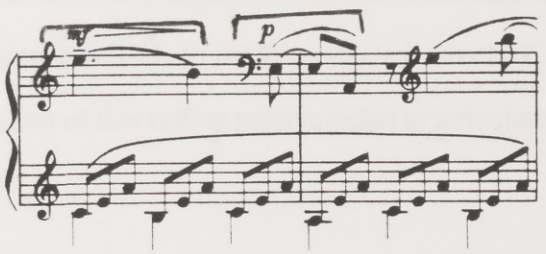
Example 15 (etude no. 2, mm. 72-75)



Thus, the *Dies irae* motive is an important unifying element within the piece.

Two other important motives that appear throughout the etude are the falling fourth (soprano) followed by the bass falling fifth (ex. 16). These two motives usually appear side by side with the falling fourth stated first, resulting in a kind of question and answer. For example, the falling fourth, E-B, creates an

Example 16 (etude no. 2, mm. 3-4)



A minor ninth chord (m. 3), which provides both melodic and harmonic tension. This tension is resolved by the bass falling fifth that immediately follows in mm. 3-4, E-A.

Like the *Dies irae* fragment, the falling fourth and fifth motives are often altered in some manner. Since the two motives are so closely related, such a manipulation often transforms one into the other. For example, the tones of the soprano falling fourth from m. 3, E-B, are reversed to B-E in m. 26, thus becoming a falling fifth. Another example of the transformation of the falling fourth soprano motive into a falling fifth occurs in m. 89 (D♯-G♯). It is answered by the bass falling fifth, B-E, in m. 90. These two motives, D♯-G♯ and B-E, are repeated three times in mm. 91-92, 93-94, and 95-96. In m. 98 the D♯ of the first falling fifth finally descends chromatically to D♮ ,which, as noted previously, becomes the seventh of a V7 chord of A minor; this dominant seventh harmony (prolonged in the retransition) prepares the return of the home tonality of A minor and section A' in m. 103. A developmental treatment of the bass falling fifth motive appears in mm. 42-47. The fifth, C-F (mm. 42-43), is expanded to a sixth in mm. 44-45 (C-E), and in mm. 46-47, the sixth is further expanded to a seventh (C-D). This intervallic expansion results in the stepwise descending bass line, discussed earlier, that leads to the B section tonality of C major in m. 50. Thus, the manipulation of this falling motive helps to articulate the middle section of the ternary form.

Etude No. 3

In the *Etude-Tableau in F♯ minor*, Op. 39, No. 3, Rachmaninoff offers some interesting formal complexities. Although its overall structure may be described as ternary, it is not as straightforward as the ternary designs in the previous two etudes. The ternary structure of no. 3 is somewhat obscured by strong sonata-form tendencies. Figure 3 traces the structure in detail:

FIGURE 3 (form, large-scale tonalities, and secondary areas of etude no. 3)

SECTION A (mm. 1-41)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
1-13	F♯ minor	
13-41: *Transition		Starts in F♯ minor and passes briefly through E minor (m. 17) and D major (m. 21).
26-39		Superimposition of V7/C♯ major (bass) with F♯ minor (treble).
40-41		V7/C♯ major

(Continued)

FIGURE 3 (Continued)

SECTION B (mm. 42-88)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
42-61	C♯ major	
62	(C♯ minor)	
63-70		Unstable
71-88: Retransition		V7/F♯ minor

SECTION A' (mm. 89-end)

89-106	F♯ minor	
107-131: *Transition		Starts in B minor and passes briefly through A minor (m.111) and G major (m. 115).
121-131		V7 of F♯ minor
132-end	(F♯ minor)	

*These transitions are unusually lengthy. The first (mm. 13-41) transition leads from F♯ minor to C♯ major at the beginning of section B; the second (mm. 107-131) leads from B minor to F♯ minor within section A'.

As shown in figure 3, the piece is divided into three main sections (A, B, A'). The last section (A') is an expanded version of the first (A) with a return of the opening motive at m. 89; the middle section (mm. 42-88) provides contrast of

key and modality. The sonata-form tendencies of this etude emerge within the A and A' sections. Both sections contain transitions that occur at corresponding points, m. 13 and m. 107, immediately following the respective statement and restatement of the opening material. The transition within the opening section (A) begins after a cadence on F♯ minor in m. 13 and goes quickly through secondary areas of E minor, D major, and the dominant harmony of C♯ (G♯) until it arrives on C♯ major in m. 42 (refer to figure 3). The corresponding transition within section A' is transposed down a fifth, beginning after a cadence on B minor in m. 107; it passes briefly through the secondary areas of A minor, G major, and C♯ (as V7/F♯), until arriving on F♯ minor in m. 132. In other words, while the first "transition" moves to the dominant key, the second one is transposed down a fifth in order to lead to the tonic key, thus effecting tonal closure for the movement as a whole. This restatement of material down a fifth is strongly reminiscent of sonata-form.

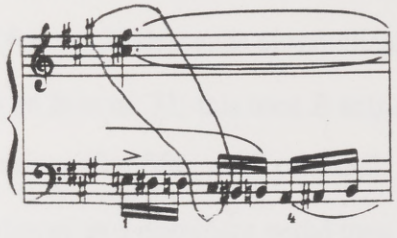
However, a sonata-form designation for the etude as a whole is problematic. One factor that weakens the case for sonata form is that only some of the material from the first transition returns and is transposed; the second transition begins to deviate from the first in m. 115. Furthermore, sonata-form requires a transposed recapitulation of the material from a stable second key area; this is the 'tension-resolution' element needed within sonata structures. In this etude the material from the second key area (mm. 42-ff.) does not return. Therefore, the piece may best be described as a ternary form that displays sonata traits.

As shown in figure 3, the large-scale tonalities of the piece include F♯ minor, C♯ major/minor, and F♯ minor; thus, the overall tonal plan may be described as i-V-i. Accentuated tonic chords that are reiterated throughout mm. 1-4 establish the opening key of F♯ minor in a declamatory manner. In mm. 5-6 a submediant chord, D major, brings about the first change of harmony. After a return to the F♯ minor chord in m. 7, there is another striking change of harmony in mm. 11-12 with the appearance of a IV7 chord. As mentioned previously, in m. 13 a long transition begins in which Rachmaninoff uses a series of secondary dominants to pass briefly through secondary areas of E minor in m. 17 and D major in m. 21. In m. 23 a chromatically rising bass line begins on D that ultimately arrives on G♯ in m. 26. The arrival of the bass G♯ is also prepared by a chromatic tenor line (F^{X} -G♯-A-G♯, with the final G♯ displaced an octave), in mm. 24-26.

Although the arrival on the bass G♯ in m. 26 is strong, the harmonic area in mm. 26ff. is difficult to pinpoint. Immediately following the bass G♯ in m. 26 are the tones D♯ and F♯ (bass) that, when combined with the G♯, create a V7 of C♯ (third omitted). A bass pedal G♯ in mm. 26-34 prolongs the feeling of a dominant of C♯ within the passage. Simultaneously, there is also some suggestion of the harmonic area of F♯ minor in the right hand in mm. 26-39; this is achieved by the reiteration of an F♯ minor chord on the third beats of mm. 26-29 (right hand) and through the appearance of the leading tone, E♯, in mm. 30-39. Moreover, F♯ minor is strongly implied by an augmented dominant chord that is outlined on the downbeats of mm. 31-34; C♯ (m. 31)-A (m. 32)-E♯

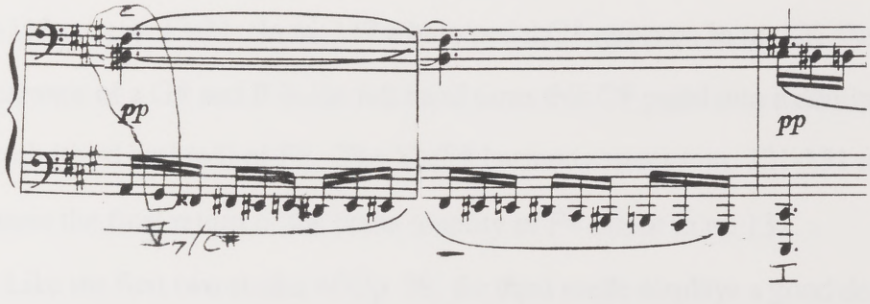
(m. 33)-C♯ (m. 34); this harmony appears again in m. 37 (ex. 17).

Example 17 (etude no. 3, m. 37)



Foreshadowed by the G♯ bass (dominant) pedal in mm. 26-34, the large-scale tonality of C♯ major is approached by a B♯-F♯ tritone in mm. 40-41 that chromatically resolves to C♯ and E♯ in m. 42. Harmonically, this B♯ - F♯ tritone forms part of a V7 of C♯ with the root and fifth, G♯ and D♯, appearing very briefly in the left hand of mm. 40-41. This V7/C♯ strengthens the arrival of the tonality of C♯ major in m. 42 (ex. 18). The harmonic area of C♯ major is

Example 18 (etude no. 3, mm. 40-42)



later reinforced in m. 59 where a C♯ major tonic chord in second inversion is resolutely stated (with the root C♯ entering on the second eighth). Following a sudden change to the minor mode in m. 62, Rachmaninoff begins moving away from C♯ minor and towards F♯ minor in m. 63. The first suggestion of F♯

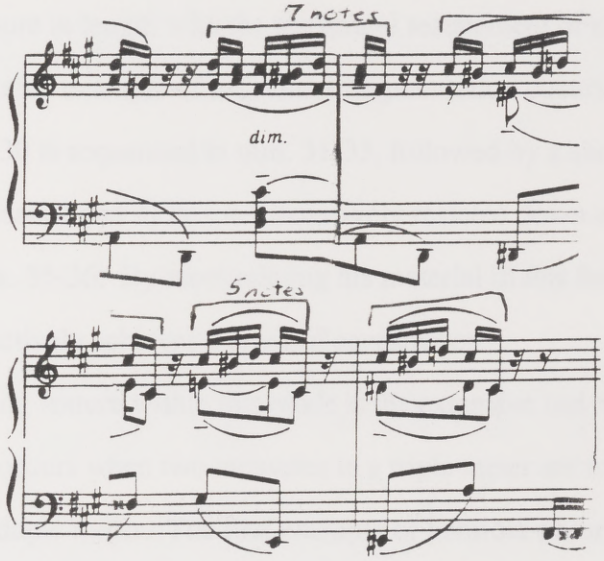
minor occurs in m. 67, where an augmented dominant chord (C♯-E♯-A) resolves briefly to an F♯ minor chord in m. 68 on beat one. In addition, a soprano line beginning on the tone E♯ in m. 59 descends chromatically over the span of twelve measures until it arrives on B in m. 71; this tone B acts as the seventh of an altered V7 chord of F♯ minor (flat fifth, third omitted). The bass C♯ supporting this arrival in m. 71 continues as a dominant pedal tone up to m. 88. The dominant chord of F♯ minor itself occurs in various forms in mm. 73, 76, 78, 80, and 84-88. Thus, measures 71-88 act as a retransition that prolongs the dominant harmony of F♯ minor and prepares the return of the home key in m. 89.

After arriving on F♯ minor in m. 89 the piece remains in F♯ minor, except for the aforementioned transition that lasts from mm. 107-131. As mentioned earlier, this second transition opens with the same material as that of the beginning of the first transition, but is transposed down a fifth; compare mm. 107-115 to mm. 13-21. In m. 117 a bass pedal C♯ appears; in m. 121 the appearance of a G♯ and B in the left hand turns this C♯ pedal into a dominant seventh (third omitted) of F♯. The V7/F♯ harmony spans mm. 121-131 and prepares the final return of the home tonality of F♯ minor in m. 132.

Like the first two etudes of Op. 39, the third etude displays a good deal of sequential and quasi-sequential treatment of material. One interesting example occurs at the beginning of the first transition, mm. 13-25. A four-bar pattern beginning in the second half of m. 13 and ending on the down beat of m. 17 is restated down a step in mm. 17-21. In m. 21 the pattern begins as it did in mm.

13 and 17; however, only the beginning seven-note motive is sequenced in mm. 22-24. This seven-note motive is in turn shortened into a five-note pattern, which is stated twice in mm. 24-25, although it is not sequenced (ex. 19). As a result of

Example 19 (etude no. 3, mm. 22-25)



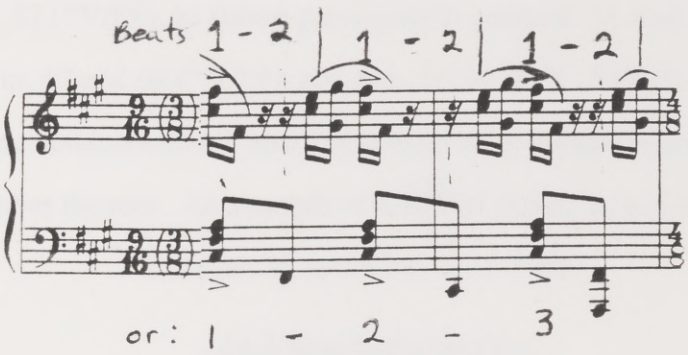
this type of 'sequential fragmentation' (i.e. involving a long phrase that is quasi-sequentially restated and subsequently reduced to smaller units that are also restated), a sense of acceleration is achieved.

At times Rachmaninoff strings together two or more sets of sequential or quasi-sequential material, each based on a different pattern. Like the above example, the first set often consists of a longer segment of material than the set or sets that follow. This fragmentation process occurs in mm. 62-76. First, a four-bar sequential pattern, mm. 62-65, is restated down a step in mm. 66-69. The material in m. 70 is similar to that of m. 66 (the first measure of the pattern) and

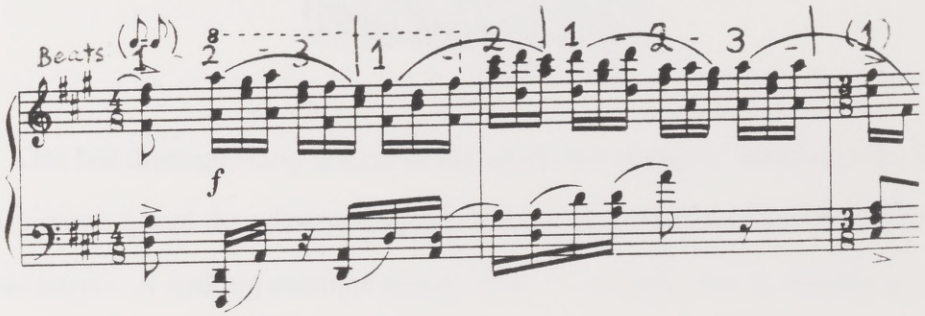
there is reason to expect another statement of the four-bar pattern. However, mm. 71 and 72 introduce new material that is sequenced down a step in mm. 73-74. Thus, the four-bar sequential segments (mm. 62-65 and 66-69) are followed by a sequence involving a shorter two-bar pattern (mm. 71-72). The pattern then becomes one measure in length with the sequential restatement of m. 75 down a step in m. 76. Another example of sequential fragmentation occurs in mm. 30-40; material in m. 30 is sequenced in mm. 31-33, followed by a shorter two-beat pattern in m. 34 (beats 2 and 3) that is successively restated down a series of major thirds in mm. 35-36. By manipulating his material in this fashion, Rachmaninoff effectively achieves a sense of acceleration.

Another striking feature within this etude is the extensive use of hemiola. Hemiola typically occurs when two measures in a triple meter are reinterpreted as three measures of duple meter. The first example of hemiola occurs in mm. 3-4. After the piece opens in three-eight time, accents on beats one and three in m. 3 and beat two in m. 4 cause a temporary metrical shift from three-eight to two-eight. Example 20 shows that mm. 3-4 can be metrically interpreted in two ways; 1) as three measures of two-eight time or, in a broader sense, 2) as one measure of three-four time. A new meter of four-eight appears in the score in mm. 5-6; however, example 21 shows that these two measures may be interpreted as 3+2+3, thus continuing the conflict between duple and triple beat groupings (see ex. 21). In m. 7 the three-eight meter returns and is transformed to two-eight again by accents in mm. 9-11. Another example of a shift from triple meter to

Example 20 (etude no. 3, mm. 3-4)



Example 21 (etude no. 3, m. 5-m. 7, downbeat)

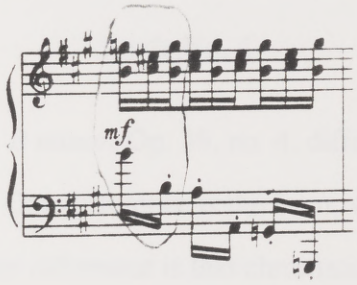


duple meter occurs in mm. 15-16 and 19-20. Other examples of hemiola appear in mm. 24-25, 54-57, 109-110, 113-114, and 121-126. Rachmaninoff's use of hemiola within this etude creates a sense of acceleration; we have seen that his use of sequential fragmentation achieved a similar effect, though in a different way.

A prominent feature in this piece that was also evident in the first two etudes is the frequent appearance of augmented triads. Augmented triads often appear simply as colorful passing harmonies, such as in mm. 57-58. However, as was previously discussed, augmented triads sometimes function as altered dominant

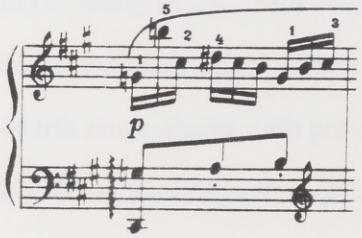
chords, such as the one found in example 13. Examples of augmented dominants appear in m. 37 ($^{+}$V/F♯), as shown previously in example 15, mm. 63 and 65 ($^{+}$V/G♯), mm. 67 and 69 ($^{+}$V/F♯), and mm. 84-87 (R.H., $^{+}$V/F♯). Another type of altered dominant chord, also found in previous etudes, is one that contains a flat fifth above the root. An example of a $V^{\flat 6}_{4\ 2}$/F♯ occurs in m. 130 (ex. 22).

Example 22 (etude no. 3, m. 130)



One last distinguishing feature of this etude that deserves mention is the fairly conspicuous use of the whole-tone scale within the latter half of part B (i.e. in the retransition). A striking example occurs in m. 71, which consists entirely of the C♯ whole-tone scale (with E♯ omitted) (ex. 23). Most of this whole-tone scale,

Example 23 (etude no. 3, m. 71)



specifically the tones C♯-(E♯)-G-A-B, is extracted from the two different types of altered dominant seventh chords of F♯ minor described above (augmented, and with a ♭5 in mm. 67 and 71, respectively). The C♯ whole-tone scale, along with these altered dominant harmonies of F♯ minor, plays an important role throughout mm. 71-88.

Etude No. 4

The *Etude-Tableau in B minor*, Op. 39, no. 4, differs from the first three etudes in several respects. One difference is the form, which is a clear binary design with a coda. Another difference is that chromatic voice leading does not play as an important role in articulating tonal areas as it did in the first three pieces; cadences in no. 4 are primarily diatonic, and the chromaticism that does occur is localized. Also, unlike the earlier etudes, the fourth etude contains several contrapuntal devices such as imitation, invertible counterpoint, and stretto.

One important feature that this piece has in common with the second etude is its developmental treatment of clearly defined motives; the opening right hand melody in mm. 1-3 contains several short motives that are used throughout the piece. Other features the fourth etude shares with previous etudes include the use of altered dominant chords and sequential/quasi-sequential passages.

Figure 4 outlines the two-part structure of the fourth etude. As shown in figure 4, the first part (A) concludes in m. 14 with a cadence that may be interpreted in two ways: 1) as a half cadence on the minor dominant harmony in

the home key of B minor, or 2) as a modulation to the minor dominant key through its minor dominant (v/F♯ minor). Due to the proportional weight given to the tonality of B minor up to m.14, I personally hear it as a half cadence in B minor ; in addition, the raised leading tone of F♯ minor (E♯) is absent from the cadence in mm. 13-14, de-emphasizing F♯ minor as a tonal center. How one

FIGURE 4 (form, large-scale tonalities, and secondary areas of etude no. 4)

SECTION A (mm. 1-14)

Measure Nos.	Tonalities
1-14	B minor

SECTION B (mm. 15-46)

15-21	F♯ minor
22-28	E minor → $V\frac{6}{5}$/B minor
29-34	G major → V7/B minor [or, B minor (VI → V7)]
35-47	E minor → B minor (V7 - i) [or, B minor (iv → V7 -i)]

CODA (mm. 47-end)

47-end	B minor

hears the cadence at the end of part A is a significant analytical issue, since some theorists distinguish between various types of binary forms on the basis of this cadence. For example, Wallace Berry believes that the first part of a 'full binary' form must end with a modulation to the dominant or other related key:

> . . . We may assert, then, that in full binary form each of the two parts is composed of more than two phrases . . . and that the cadence ending the first part represents a modulation to the dominant or other related key. . . . A two part form in which either of these conditions is present, but not the other, may be designated an 'incipient binary'.[5]

Since this analysis interprets part A as ending with a half cadence in the home key of B minor, rather than with a modulation to F♯ minor, it would fit into Berry's description of 'incipient binary'.

The binary form of etude no. 4 also corresponds to Douglass Green's description of a 'balanced binary' form:

> . . . Very often the cadences that end each part of a simple binary movement are identical except in pitch. The first is usually on III or V while the second is on I. The result can be thought of as a musical 'rhyme'.[6]

In etude no. 4 the closing measures of part A (mm. 11-14) are very similar to the closing measures of part B (mm. 45-48), except that the last two measures of part B (mm. 47-48) are transposed down a fifth. Therefore, Green would designate the form of this etude as 'balanced binary' with a coda.

As indicated in figure 4, the tonalities that articulate the large formal sections include B minor, F♯ minor, and B minor. After the half cadence on v/Bminor

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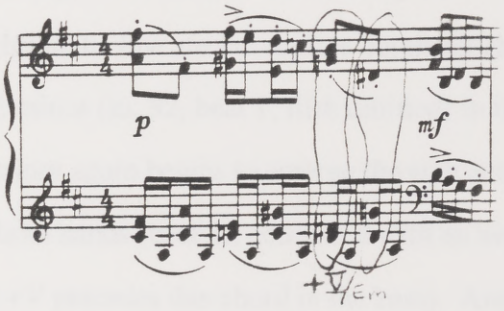
[5]Berry, 33.

[6]Douglass Green, *Form in Tonal Music: an Introduction to Analysis*, 2nd ed. (New York: Holt, Rinehart and Winston, 1979), 78.

closes part A, part B immediately opens in the key of F♯ minor, which is established through the reiteration of an F♯ minor chord in m. 16 and a dominant seventh chord in m. 16 (second half of beat three). In m. 21, Rachmaninoff prepares the arrival of the tonality of E minor with an augmented dominant and dominant seventh chord on beats three and four, respectively (ex. 24). The

Example 24 (etude no. 4, m. 21)



material in mm. 22-25 is a varied sequential restatement of mm. 15-19 down a step (m. 18 is excluded in the restatement).

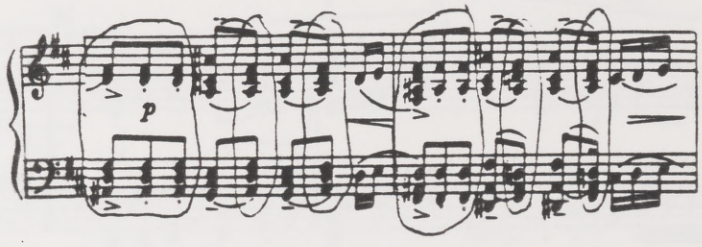
After reaching E minor, Rachmaninoff makes three different attempts to reach I of B minor within section B (mm. 22-28, 29-34, and 35-47), of which the first two are unsuccessful; only the last one strongly arrives on the I/B minor. First Rachmaninoff moves quickly away from E minor with dominant seventh chords of B minor in mm. 27 (beat 2) and 28 (beat 2) that begin to suggest the home tonality. However, in mm. 28-29 the bass note A♯ (third of the chord) moves down unexpectedly to G♮. The resulting augmented second interval, A♯-G, will play a prominent role again later in the piece. In mm. 29-30, the tonality of G major (which may be heard as a VI/B minor) is asserted through a bass

pedal G, along with a dominant ninth chord (fifth omitted) on beats 1 and 3. Simultaneously, dominant seventh chords of B minor appear on beat 2 (mm. 29-30).

In m. 31 a stepwise ascending bass line that begins on G leads to F♯ in m. 33. As the bass rises, the right hand follows with a chromatically rising inner-voice (right hand) starting on A♯ in m. 30 and ending on F♯ in m. 33. Accompanying this chromatic line are incomplete dominant chords of B minor (m. 31, beat 2) and E minor (m. 32, beat 1, fifth omitted) in the right hand. In m. 33 the tonality of B minor again begins to emerge through emphasis on the leading tone, A♯, in both hands (beat 2), combined with an augmented dominant triad (the root of this +V precedes this chord in the bass). Another interpretation for beats two and three of m. 33 would be to hear the tone D (left hand) as an appoggiatura that resolves into a vii°$\frac{4}{3}$ of B minor at the end of the measure. The interval of an augmented second returns in the melody in m. 33 as the tone A♯ falls to G♮. The material in m. 33 is then repeated in m. 34, further emphasizing B minor. However, an arrival on the tonic harmony of B minor is avoided in m. 35 by a strong arrival on an E minor chord; thus, a resolution to the tonic harmony is again delayed.

In m. 37 B minor begins to emerge more prominently with the appearance of a vii°7 /B minor chord that is supported by an A♯ leading tone in the bass. The tone A♯ acts as a bass pedal from m. 37 until m. 41, where it is combined with an F♯ and a D to form an augmented dominant of B minor (see ex. 25).

Example 25 (etude no. 4, mm. 41-42)

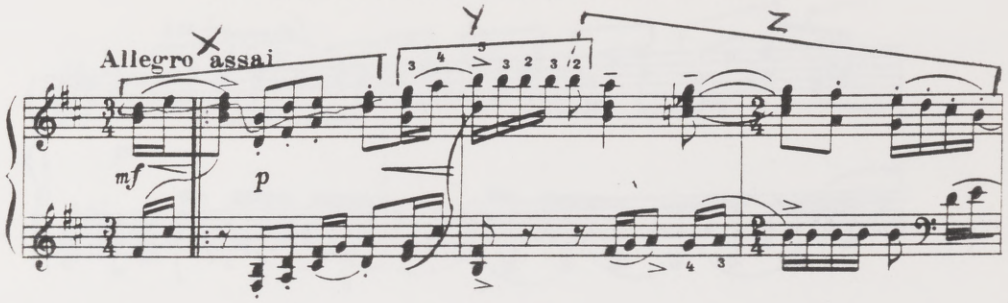


However, in mm. 40-41 the A♯-G augmented second returns to delay a strong articulation of the home tonality of B minor. The falling augmented second appears in the left hand of m. 40 (A♯-G, beat 3), where it is combined with a chromatically descending bass line, F♯ to A♯, and again in m. 41 (bass, second half of beat 2).

The tonality of B minor is finally confirmed in m. 45 by a V7-i cadence in B minor (beats 1-2). As noted earlier, mm. 45-47 close section B with the same cadential material as part A (mm. 12-14), transposed down a fifth. This brief cadence would be an unlikely way for the piece to end, since the B minor harmony did not really receive enough proportional weight in section B. The coda that follows in mm. 47ff. resolves the harmonic frustrations in part B by strongly reinforcing the home tonality of B minor.

As was mentioned earlier, Rachmaninoff derives much of the motivic material in this etude from the opening soprano melody in mm. 1-3. Example 26 shows that this melody contains three short motives, labeled X, Y, and Z.

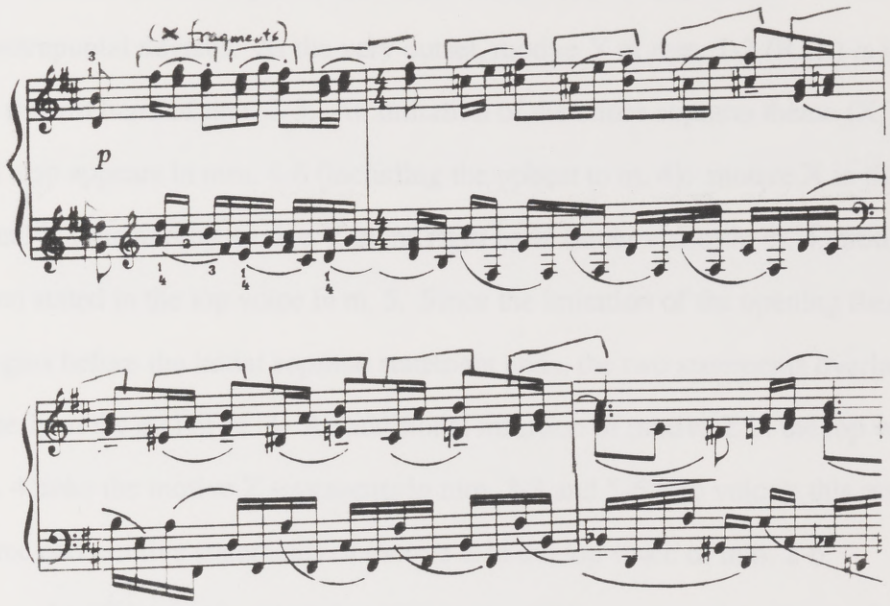
Example 26 (etude no. 4, upbeat to m. 1-m. 3)



Motive X is distinguished by its opening upbeat rhythm ♫♩ , motive Y is characterized by repeated notes, and motive Z is a falling scale figure. Within the etude motive X appears in its entirety in mm. 1 (soprano, including upbeat.), 3-4 (tenor), 12-14 (upper voice), and 45-47. Additionally, the characteristic rhythm of X (two sixteenths followed by an eighth) is employed in various ways throughout the piece, often with the original intervals altered. Occasionally, several of these rhythmic cells are strung together to form a chain, as in mm. 6-9, right hand (see ex. 27). Another chain appears in the bass of mm. 10-11, stated in octaves, and in mm. 43-44. The longest and most harmonically interesting example occurs in the harmonically ambiguous passage of mm. 29-33, where the three-note rhythmic motive is used in combination with chromatic voice leading.

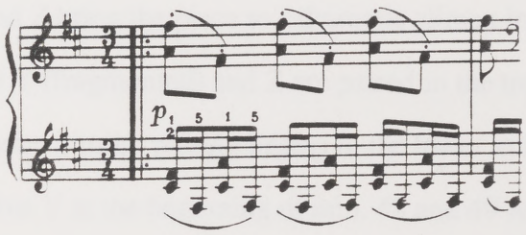
Motive Y (shown earlier in example 26) appears throughout the piece in various forms. It is stated in mm. 2-3 (L.H.) and in the soprano of mm. 40-43 (rhythmically altered). Most typically it immediately precedes motive Z, as in mm. 1-3 (soprano; refer to example 24). Other examples of the pairings of motives Y and Z occur in mm. 4-5 (inner voice and soprano, respectively), 24-25

Example 27 (etude no. 4, mm. 6-9)



(soprano), and throughout the coda. Additionally, the characteristic repeated notes of motive Y appear in a rhythmically augmented form in mm. 15 (ex. 28), 18, and 22. In each case the augmented motive Y is followed by motive Z.

Example 28 (etude no. 4, mm. 15-16)



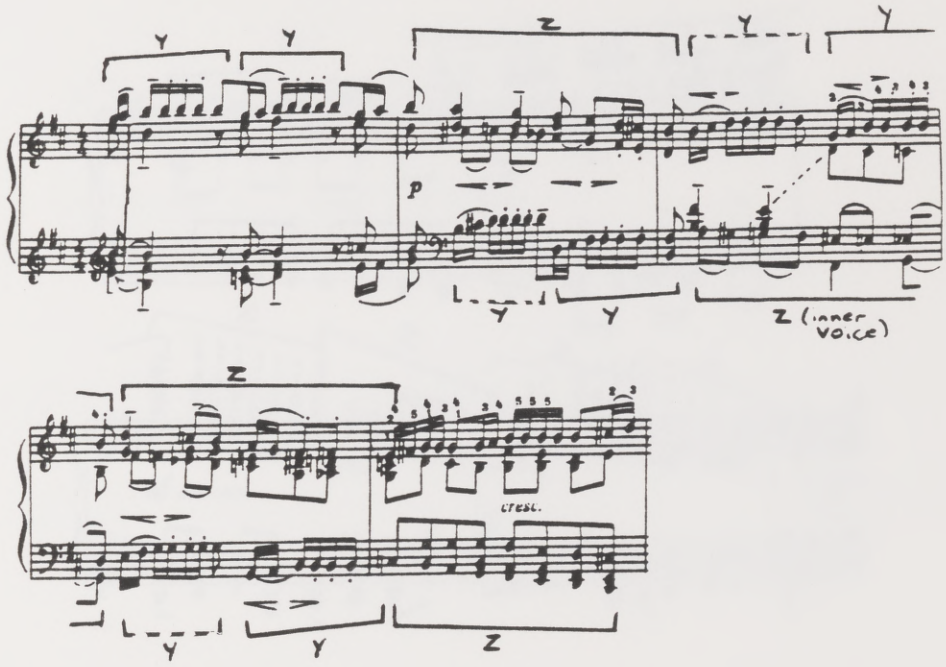
In addition to the pairings of motive Z with Y, listed above, isolated appearances of Z occur in m. 4 (soprano), mm. 26-28 (bass, fragmented), and mm. 59-60.

As was previously mentioned, the fourth etude makes use of various contrapuntal devices. At the very outset, motive Y of mm. 1-2 (R.H.) is imitated in the left hand of mm. 2-3. An imitation of the entire soprano theme (X,Y, and Z) also appears in mm. 4-6 (including the upbeat to m. 4): motive X in the left hand is followed by motive Y in the right hand (inner voice) in m. 4, motive Z is then stated in the top voice in m. 5. Since the imitation of the opening theme begins before the initial soprano statement ends, the two statements overlap briefly at the end of m. 3. An additional insertion of motive Z in the top voice of m. 4 links the motive Z statements in mm. 2-3 and 5-6 (top voice); this results in three consecutive statements of motive Z in the top voice of mm. 2-6.

An effect that is somewhat akin to invertible counterpoint occurs when the bass motive Z of m. 16 (R.H.) shifts to the soprano in m. 19, while the accompanying upper part in m. 16 (L.H.) becomes the lower part in m. 19 (though many of the pitches are altered). A similar exchange appears in mm. 23 and 25, and then again near the end of the etude in mm. 57-58.

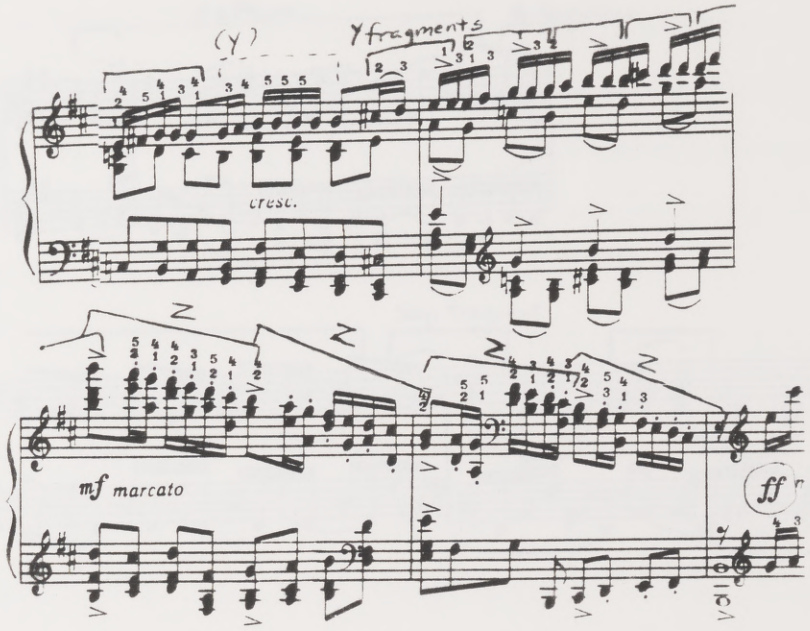
Motives Y and Z bring the piece to a dramatic climax in the coda (see ex. 29). In mm. 48-49 Y (fragmented) and Z are paired in the top voice. Before this statement ends another similar pairing begins in the lower voice of m. 49 (isolated occurences of motive Y at the beginning of mm. 48 and 49 will be discussed later); note that motive Z passes to the right hand in m. 50 (second half of beat 3) and overlaps with a third statement in the soprano of mm. 50-51; in addition, a fourth statement overlaps with the third one in the bass of mm. 51-52. These

Example 29 (etude no. 4, upbeat to m. 48-m. 52)



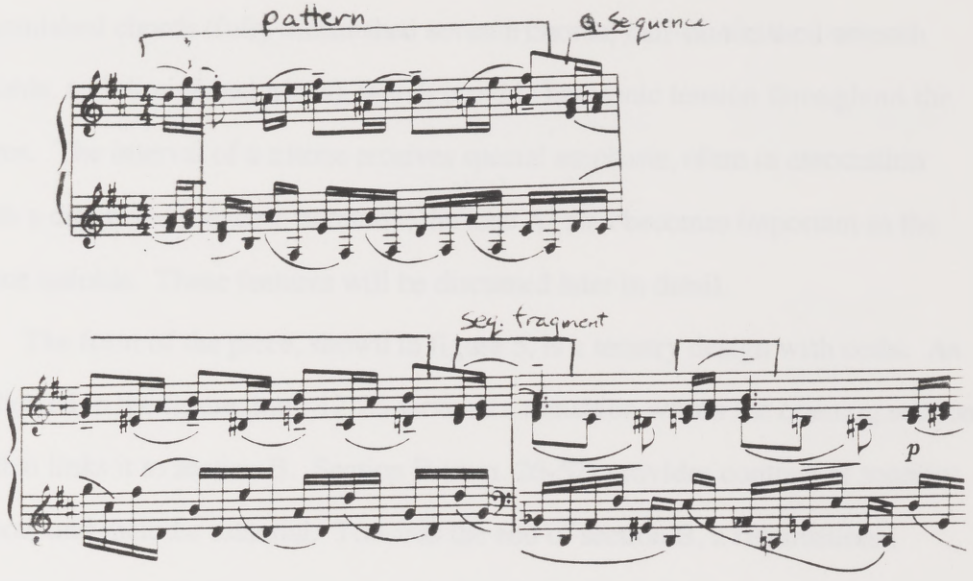
overlapping statements of Y and Z pairings in mm. 48-52 are an example of stretto. The isolated motive Y appears in mm. 49 (L.H.), 50 (R.H.), and 51 (L.H., see ex. 27, dotted brackets), resulting in successive statements of motive Y within every half measure from m. 48 to 51. In m. 52 motive Y continues in the right hand and is then fragmented and strung together in m. 53 (including upbeat to m. 53); this rhythmic compression of motive Y results in a dramatic effect of acceleration (see ex. 30). This chain of motive Y fragments ascends for two measures until reaching a high B in m. 54; at that point, four successive statements of motive Z descend four octaves in mm. 54-55, culminating in the loudest dynamic marking of the piece, fortissimo, in m. 56.

Example 30 (etude no. 4, mm. 52-55)



As in the previous etudes, Rachmaninoff utilizes several sequential and quasi-sequential passages in this etude. We have already seen that the F♯ minor material of mm. 15-19 was sequentially restated down a step in mm. 22-25. In addition, a one-measure pattern that starts with the upbeat to m. 7 (R.H.) is immediately restated, in altered form, down a fifth (upbeat to m. 8). This pattern is then shortened to a two-beat pattern (upbeat to m. 9, R.H.) and restated down a step in m. 9 (see ex. 31). Rachmaninoff also used this technique of sequential fragmentation in etude no. 3. Other sequential passages occur in mm. 31-33 (L.H.) and mm. 49-53.

Example 31 (etude no. 4, upbeat to m. 7-m. 9)



Etude No. 5

One of the most frequently performed etudes of Op. 39 is no. 5 in E♭ minor. One reason for its popularity is that it is one of the most lyrical etudes of the set. The fifth etude displays several traits found in the previous Op. 39 etudes, including the use of altered dominant chords and the extensive use of sequential and quasi-sequential passages. In addition, this piece exhibits a good deal of chromatic voice leading (as was true of the first three etudes), and it has an overall ternary design.

An important distinguishing feature of etude no. 5 is the extensive use of diminished chords (fully diminished seventh chords, half-diminished seventh chords, and diminished triads), which provide harmonic tension throughout the piece. The interval of a tritone receives special emphasis, often in association with a diminished seventh harmony; the tone A♮ also becomes important as the piece unfolds. These features will be discussed later in detail.

The form of the piece, shown in figure 5, is a ternary design with coda. As indicated in the figure, mm. 12-25 serve as a transition within the opening section A that links it to section B. Section B (mm. 26-52) provides contrast of tonality, mood, and melodic material. Towards the end of section B, a retransitional passage in mm. 46-52 prolongs the dominant harmony of E♭ minor and prepares the return of section A (A') in m. 53.

The structure also exhibits sonata-form tendencies due to the fact that the coda (mm. 73-ff) utilizes material from m. 26 transposed down a fifth (literally, up a fourth); compare mm. 26-28 with mm. 73-75. However, only the accompanimental material from m. 26 (L.H.) is literally transposed to E♭ minor in m. 73; the melodic material in the right hand of m. 26 returns in a somewhat altered version that maintains the general contour of the original material (R.H.) (i.e. a descending soprano line accompanied by a descending chromatic inner voice). Although these two passages are related, the material in mm. 73ff. acts more like a coda since it prolongs the home tonality. This is achieved with an E♭ bass pedal that appears throughout most of this passage.

FIGURE 5

SECTION A (mm. 1-25)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
1-12	E♭ minor	
12-25:Transition		
* [12-16		G♭ major]
17-21		Unstable
22-25		Bass pedal F prepares B♭ major.

SECTION B (mm. 26-52)

26	B♭ major	
27	(B♭ minor)	
29-32		B minor
33		C major
34-40		Unstable
41		B major
42-45		Unstable
46-52: Retransition		Prolongation of V/E♭ minor

*For an explanation of this bracket, see p. 39

(Continued)

FIGURE 5 (Continued)

SECTION A' (mm. 53-72)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
53-72	E♭ minor	

**CODA (mm. 73-end)

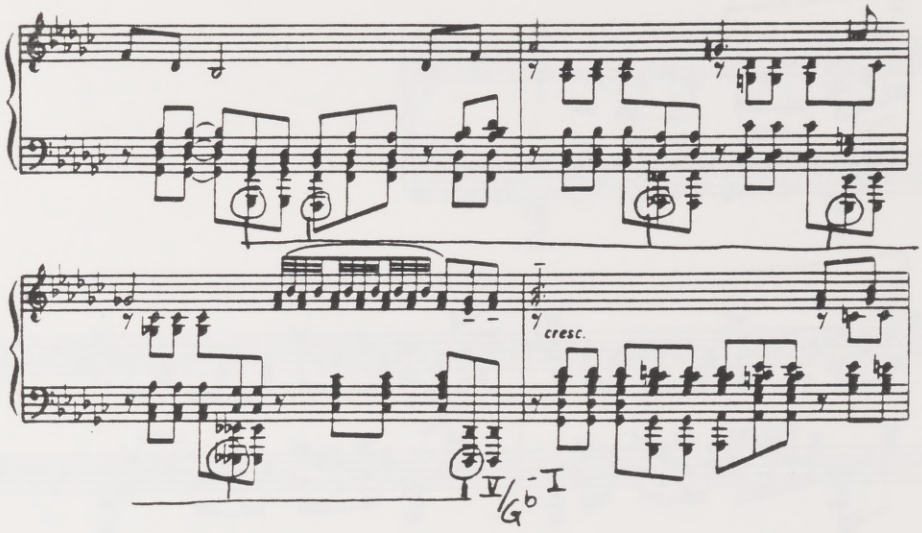
73-end	E♭ minor/major	

**The coda begins with material from m. 26 transposed up a fourth, a trait of sonata form.

As figure 5 indicates, the large-scale tonalities of the piece include E♭ minor, B♭ major/minor, and E♭ minor. The opening tonality of E♭ minor is confirmed by a dominant seventh chord with an added flat ninth in measure 4 (beats 3 and 4). A reiterated bass note E♭ in mm. 1-12 acts as a tonic pedal that stabilizes the home key. In mm. 11-12 a cadence that contains an augmented dominant seventh chord of E♭ minor (B♭-D-F♯-A♭, spelled as B♭-D-G♭-A♭ in the score) reaffirms the tonality of E♭ minor; this chord is prepared by a secondary diminished seventh chord (third omitted) in the first part of m. 11 (R.H.).

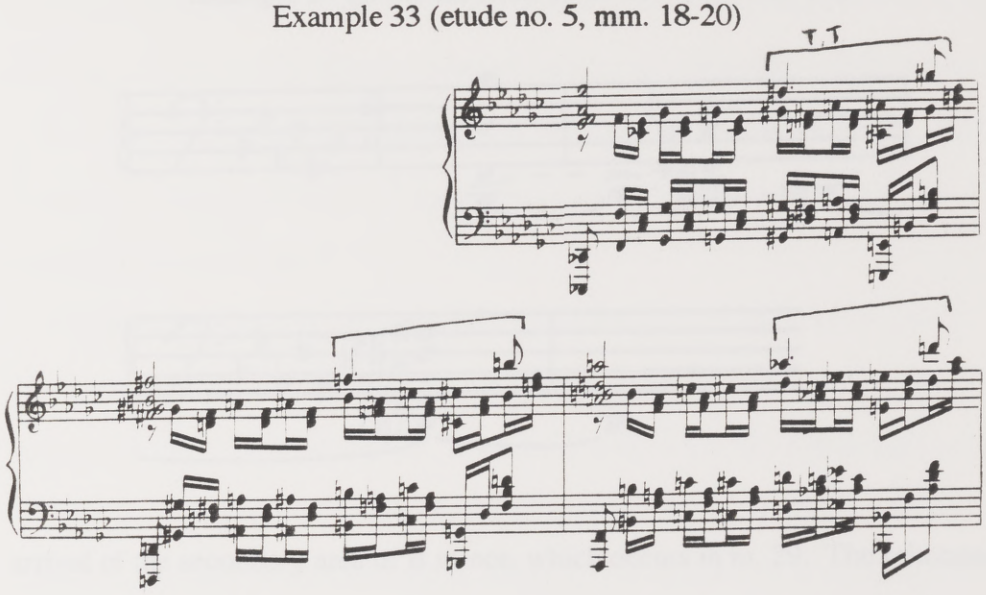
In m. 12 the piece begins moving towards G♭ major, first suggested by a dominant seventh chord of G♭ on beat 4 (bass clef). In addition, an octave bass line that begins on G♭ in m. 13 descends chromatically to D♭ in m. 15 (beat 4, second eighth note); the bass note D♭ supports a V/G♭ in m. 15 that ultimately resolves to a G♭ major tonic chord in m. 16 (see ex. 32).

Example 32 (etude no. 5, mm. 13-16)



However, the G♭ major area weakens as the bass line resumes its chromatic descent: D♭ falls to C in m. 17, then to C♭ in m. 18. Rachmaninoff continues to move away from G♭ major by sequentially restating m. 18 up a minor third in m. 19, then immediately up another minor third in m. 20. Half-diminished seventh chords stated on the downbeats of mm. 18-20 add harmonic color to the passage. In addition, the interval of a tritone emerges in the melody on beats 3 and 4 (see ex. 33). In m. 22 the transposition of the opening theme to B♭ minor, stated in octaves, foreshadows the large-scale tonality of B♭ major/minor in section B. Reiterated bass octave F's on the downbeats of mm. 22-25 act as a dominant pedal of B♭, over which V7 chords of B♭ in mm. 24 (beat 4 with added ♭9), and 25 (beat 4 with added ♭9) begin to prepare the tonality of B♭ major. In addition, a chromatically descending octave line leads to B♭ major, starting on F in the left

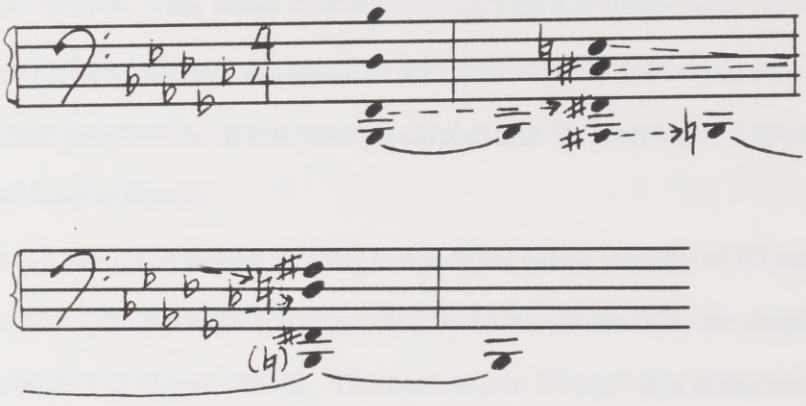
Example 33 (etude no. 5, mm. 18-20)



hand of m. 22 and ending on B♭ in m. 26 (beat 2). The arrival of the large-scale tonality of B♭ major in m. 26, which articulates the beginning of section B, is stabilized by a bass pedal B♭ in mm. 26-27.

The mode quickly changes to B♭ minor in m. 27 through a chromatic shift from D♮ (m. 26) to D♭ (m. 27) in the left-hand accompaniment. Throughout mm. 28-33, Rachmaninoff prepares new secondary areas by chromatically altering certain tones in this accompaniment figure. Example 34 shows that he moves away from B♭ minor by changing the F in mm. 26-27 (left-hand accompaniment) chromatically to F♯ in m. 28 (D♭ and B♭ in m. 27 are respelled as C♯ and A♯ in the bass of m. 28), creating a dominant chord of B in m. 28 (left hand); the seventh of the chord (E) appears on beat 2 (second 16th note). The low bass note A♯ in m. 28 moves up a semitone to B♮ on the last sixteenth to anticipate the

Example 34 (extracted from etude no. 5, mm. 27-29)



arrival of the secondary area of B minor, which occurs in m. 29. The reiterated bass note B acts as a pedal to stabilize B minor in mm. 29-31.

In mm. 31-32 the piece begins moving similarly towards C major as an F♯ (m. 31, left hand) ascends chromatically to G in m. 32. This G combines with the tones F, D, and B in the accompaniment of m. 32 (beats 1 and 2) to create a dominant seventh chord of C. In addition, the bass pedal B (mm. 29-32) rises chromatically to C in m. 32 (last sixteenth) to anticipate the arrival of the secondary area of C major, which occurs in m. 33. Thus far, the tonalities at the beginning of section B (mm. 26-33) progress chromatically from B♭ major-B minor-C major.

An unstable passage begins in m. 34 that consists primarily of sequentially treated material. In m. 40 chromatic voice leading in the accompaniment again begins to prepare a new secondary area. In this case, an arpeggiated G minor

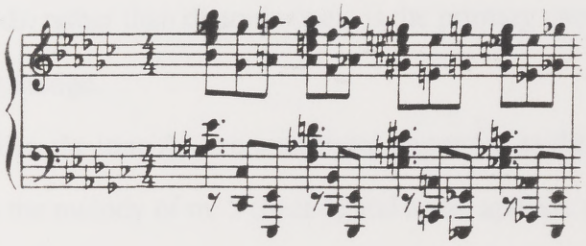
harmony in the left hand moves down by half-step to an F♯$_6$ chord on beat three, forming a V$_6$ of B. This chord cadences strongly on a B major tonic harmony in m. 41 (marked fortissimo). An unstable area immediately follows in mm. 42-45; the harmonic progression in this passage emphasizes the interval of a tritone (discussed later in detail).

In m. 46 the piece begins moving towards the home tonality of E♭ minor. Dominant seventh chords of E♭, supported by bass octaves B♭'s, are emphatically stated on beats 1-2 of mm. 46-48. The bass octave B♭'s act as a dominant pedal in mm. 46-48 and m. 50. In addition, a sequence of chromatically ascending diminished seventh chords in the right hand of mm. 48-49 lead dramatically to a dominant harmony of E♭ (fifth omitted) on the downbeat of m. 50; the right hand chords (all of which are diminished up to the end of m. 51) continue to ascend up to m. 52. This sequence of diminished chords is supported by an octave bass line in the left hand that outlines a mispelled diminished triad: E♭-G♭-A♮ (the tone A♮ appears prominently throughout mm. 46-52, and will be discussed later). Overall, mm. 46-52 act as a retransition since they prolong the dominant harmony of E♭ and prepare the return of section A (A'). The large-scale tonality of E♭ minor arrives in m. 53 and the piece remains in that tonality until m. 74 of the coda, where the mode changes to E♭ major. The mode freely shifts from minor to major throughout the coda, but finally ends in E♭ major in m. 82.

In addition to the previously mentioned series of chromatically ascending diminished chords in the dramatic passage of mm. 48-51, there are numerous

examples of diminished chords throughout. For example, within section A (mm. 1-25), eighteen measures contain at least one type of a diminished chord. As early as m. 3 (beats 1 and 2), Rachmaninoff introduces a half-diminished seventh chord, specifically, a vii$^{\emptyset}$7/VI, that changes to a fully diminished seventh chord of VI on beat 3 (mispelled as B♭-D♭-F♭-G). This chord resolves to a VI (with a major 7th added) over a tonic pedal in m. 4, beat 1. A striking example of a series of diminished chords occurs in the left hand of m. 64. In this case a string of chromatically descending diminished chords (L.H.) supports a series of chromatically descending minor chords in the right hand, resulting in a dramatic harmonic effect (ex. 35). Occasionally Rachmaninoff uses a broken diminished

Example 35 (etude no. 5, m. 64)



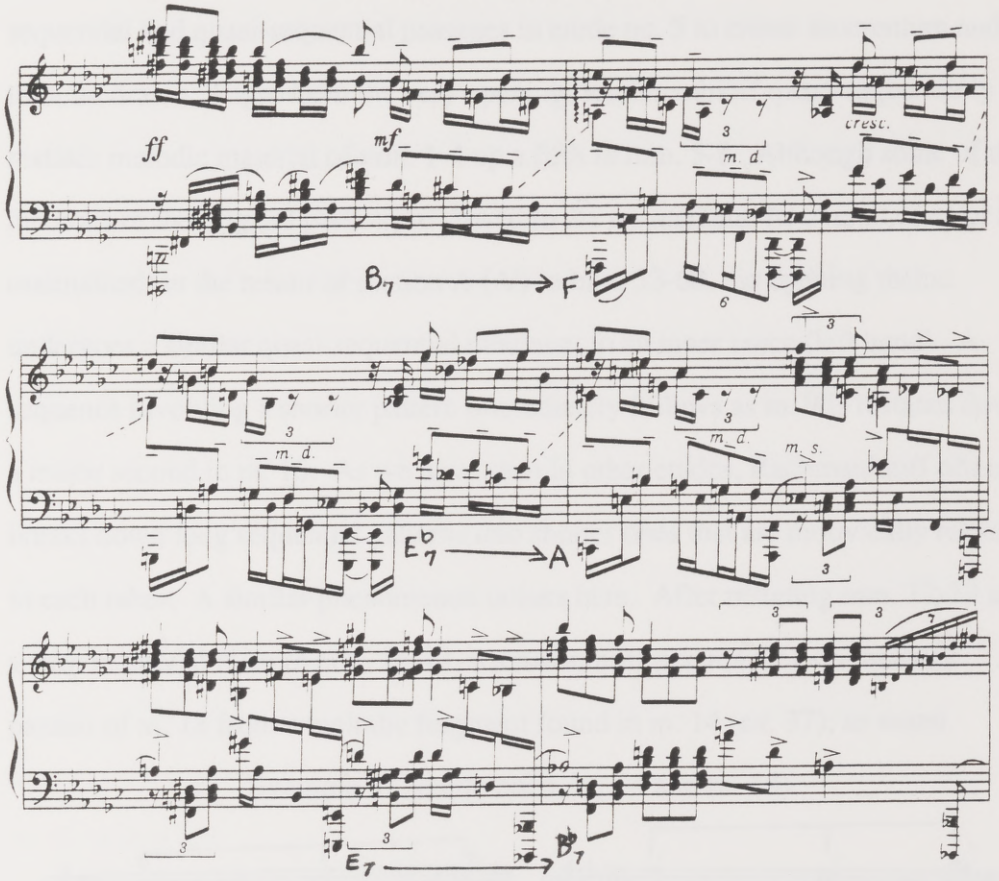
chord as melodic material; examples appear in the right hand of mm. 6 (beats 1 and 2), 35 (beats 1 and 2), and 37 (beats 1 and 2).

As previously mentioned, another important factor within this etude is the interval of a tritone. Since diminished chords contain one tritone and fully diminished seventh chords contain two, tritones occur harmonically throughout. In addition, Rachmaninoff often uses the tritone melodically, such as in the right

hand of mm. 18-21. Perhaps the most interesting employment of the tritone interval occurs in the harmonic progression in mm. 41-46. In m. 41 a dominant seventh chord built on B progresses a tritone away to an F harmony in m. 42 (beat 1). The progression then moves up a step to a D♭7 chord (m. 42, beats 3 and 4) that progresses to a G chord in m. 43 (beat 1). The tritone related series continues its stepwise ascent as an E♭7 chord (m. 43, beat 3) moves to an A chord (m. 64, beats 1 and 2) and an F7 chord (m. 44, beat 3) moves to a B7 chord (m. 45, beat 1). The passage concludes with an E7 chord (m. 45, beats 3-4) progressing to a dominant seventh chord of E♭ (B♭7) in m. 46 (downbeat). Tritone motion in the bass of mm. 41-46 supports this interesting progression of harmonies (see ex. 36). Rachmaninoff's use of real sequential restatements (i.e. literally transposed), rather than diatonic ones, is the primary cause of the instability in this passage.

As noted earlier, the tone A♮ becomes more important as the piece unfolds. It is introduced in the melody of m. 5 (beat 4) and again appears prominently in the melody of m. 11 (beats 1 and 2). In m. 25 A♮ acts as a leading tone within the large-scale tonality of B♭ major (the tonic of which arrives in m. 26). The pitch A♮ also becomes a significant factor in the retransition (end of section B, mm. 46-52). In this case Rachmaninoff sets up a kind of conflict between the tones A♮ and A♭ (the seventh of the V7 chord of E♭). For example, the A♮ interrupts two strong statements of the dominant seventh chord of E♭ in mm. 46 and 47. The conflict between A♮ and A♭ continues in m. 52 as the two tones

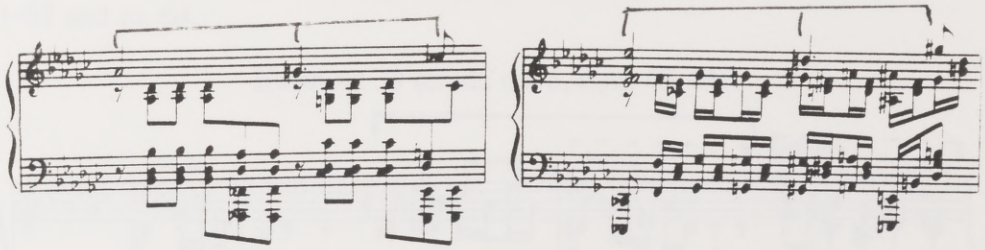
Example 36 (mm. 41-46)



appear simultaneously in a dominant chord of E♭ on beats two and three. Rachmaninoff finally resolves the conflict by removing the A♮ at the very last moment (m. 52, last eighth). However, the tone A♮ returns prominently in the melody of mm. 67 and 69 (downbeats), supported by a bass note E♭ (resulting in an harmonic tritone). In mm. 70-72 A♮ acts as a lower neighbor-tone below B♭, providing harmonic color to the passage.

As he did in the previous four etudes of Op. 39, Rachmaninoff uses sequential and quasi-sequential passages in etude no. 5 to create momentum and to build drama. Right from the very opening, Rachmaninoff quasi-sequentially restates melodic material of mm. 1-4 up a fifth in mm. 5-8. Although some of the intervals of the original pattern are altered in the restatement, its overall contour is maintained; in the return of section A (A') in mm. 53-60, the opening theme undergoes a similar quasi-sequential treatment in an inner voice (left hand). A sequence involving a shorter pattern immediately follows as m. 9 is restated down a major second in m. 10. As we have seen in other etudes, Rachmaninoff often breaks down long sequential patterns into shorter ones that are motivically related to each other. A similar phenomenon occurs here. After restating mm. 12-13 up a fifth in altered form in mm. 16-17, Rachmaninoff derives the one-measure pattern of m. 18 from a melodic fragment found in m. 14 (ex. 37); as noted

Example 37 (etude no. 5, m. 14 and m. 18)

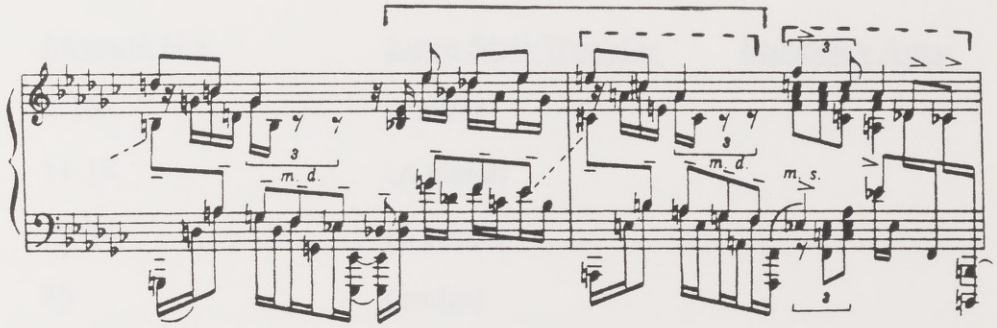


earlier, m. 18 is then sequenced in mm. 19-20. Another sequential passage appears in mm. 22-25. In this case it involves a four-beat pattern, consisting of

mm. 22, beat 4 and 23, beats 1-3, that is restated (in altered form) down a major second in mm. 23-24, then down a diminished fourth in mm. 24-25.

Several interesting sequential passages immediately precede the retransition in section B. A three-measure pattern of mm. 26 (beats 4-6) - 29 (beats 1-3) is quasi-sequentially restated up a semitone in mm. 30-32. A shorter two-measure pattern (mm. 33-34, right hand) is then sequenced up a step in mm. 35-36; measure 37 is, in turn, restated in altered form in m. 38. Sequential fragmentation occurs in mm. 41-46 as a four-beat pattern is broken down into a shorter two-beat pattern. The first pattern begins on beat 3 (second eighth) of m. 41 and includes beats 1-3 (first eighth) of m. 42; this segment is sequenced up a step in mm. 42-43 and again in mm. 43-44. A two-beat pattern immediately follows that is derived from the second half of the preceding four-beat pattern (see ex. 38 below). This two-beat pattern itself also undergoes quasi-sequential treatment in mm. 45-46. Other examples of sequential passages appear in mm. 61-62 and m. 64.

Example 38 (etude no. 5, mm. 43-44)



Etude No. 6

A characteristic the *Etude-Tableau in A minor*, Op. 39, no. 6, shares with the previous etudes (except perhaps no. 4) is the extensive use of chromatic voice leading. Throughout the etude there is an abundance of long chromatic lines that Rachmaninoff uses to arrive either on large-scale tonalities or secondary areas. Another trait etude no. 6 shares with previous etudes, specifically nos. 2 and 4, is the development of motivic material. Rachmaninoff clearly presents four motives in the opening ten measures that he utilizes throughout the piece. Other qualities this etude shares with the preceding etudes are the use of sequential and quasi-sequential passages, as well as a ternary structure (excluding etude no. 4).

Figure 6 outlines the ABA' design and lists the large-scale and secondary tonalities within the etude. As indicated in the figure, the large-scale tonalities of

FIGURE 6 (form, large-scale tonalities, and secondary areas of etude no. 6)

SECTION A (mm. 1-35)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
1-10	A minor	
11-18	(A minor)	
19-34	(A minor)	
35	(bridge)	

(Continued)

FIGURE 6 (Continued)

SECTION B (mm. 36-93)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
36-48	F major/minor	
49-93	Unstable	
59-62		C♯ minor
65-68		E minor
71-78		G♯ minor

SECTION A' (mm. 94-end)

94-end	A minor

this piece are A minor, F major/minor, and A minor. The middle B section (mm. 36-93) provides both contrast of key and, initially, modality. Section A' (mm. 94-ff.) begins by recapitulating an abbreviated version of the material in mm. 6-ff.; Rachmaninoff saves the dramatic opening gesture of mm. 1-5 for the very end of the piece.

Section A opens with two distinct thematic ideas in mm. 1-10. The first idea, a rising, chromatic, unision bass line leading to an A minor chord (mm. 1-5), is immediately followed by the second, a toccata-like sixteenth-note figure characterized by repeated notes and a conjunct soprano line (mm. 6-10). These two gestures appear side by side again in mm. 11-18 and 19-27 with the toccata-like material (i.e. from mm. 6-10) being extended by two and three measures,

respectively. Rachmaninoff uses these two thematic ideas to help establish the opening tonality of A minor. For example, the first idea leads directly to A minor chords on the downbeats of mm. 2, 4, 5, 12, and 20; the soprano melody line of the second idea begins and ends on the pitch A and cadences on an A minor chord in mm. 10 and 18 (beats 2 and 3). In its third statement, however, this toccata-like material (mm. 19-27) becomes more and more unstable, failing to return to A minor before it abruptly ends in m. 27. Instead, a contrasting passage follows (mm. 28-34) that gradually leads back to A minor; this passage will be discussed later. Thus, the opening key is primarily established through emphasis on its tonic chord and pitch. In m. 33 (beat 3) a broken dominant seventh chord of A minor reaffirms that tonality.

Although A minor predominates throughout section A, a D minor harmony (as iv of A minor) and a secondary area of G minor receive some emphasis in mm. 16 and 26, respectively. Both of these harmonies are approached through chromatic voice leading in the top voice (R.H.) and both appear at corresponding points in their respective passages (i.e. they are the high point and ultimate goal of the chromatic lines). The chromatic line leading to the D minor chord (m. 16) starts on B in the soprano of m. 15 and ascends to D in m. 16. In mm. 20-25 three rising chromatic lines culminate on the G minor chord of m. 26. The first line begins on A in m. 20 (R.H., top voice, beat 2) and ends on G in m. 26; the other two lines, played by the left hand, chromatically ascend in sixths from B and D♯ in m. 20 to B♭ and D in m. 26 (displaced one octave lower). In mm. 28-

33 Rachmaninoff uses more chromatic voice leading to arrive on the dominant seventh chord of A minor (noted earlier) in m. 33. In this passage descending chromatic lines appear in the soprano (except for a whole tone between E and D, mm. 28-29) and tenor voices while the bass line ascends chromatically.

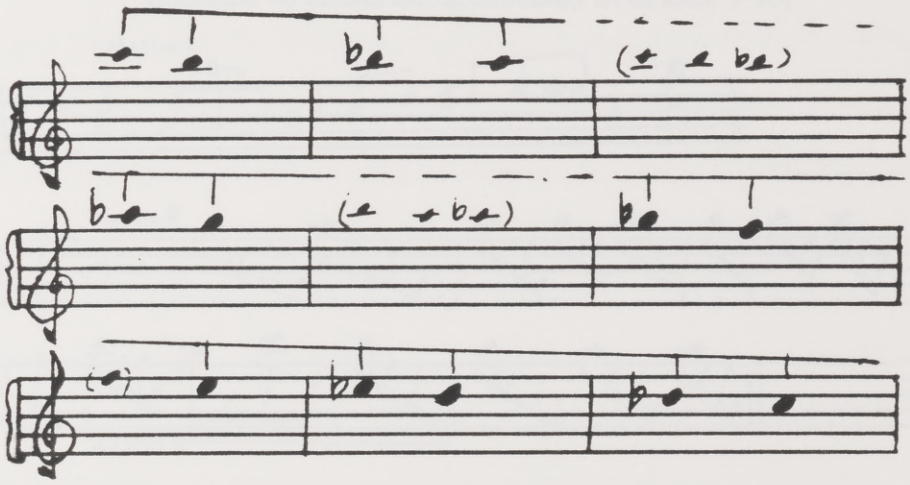
Following this A minor cadence (mm. 33-34) the opening chromatic line from mm. 1-5 returns in varied form; this time the gesture leads to the large-scale tonality of F major in m. 36, which articulates the beginning of section B. The arrival on an F major harmony is unexpected since these chromatic lines had previously led to an A minor chord, and, since the chromatic lines in mm. 34-35 do not lead directly to the root of F major. However, F major gains stability through a reiterated bass note F that acts as a pedal in mm. 36-48. The mode changes to minor in m. 42 with the appearance of an A♭ (R.H., inner voice). Although the tonality of F major/minor is strong at the opening of part B, it does not remain in effect as long as the A minor tonality of the opening section (A). In general, most of the tonalities within section B are fleeting.

In m. 49 the tonality of F minor weakens with the appearance of a chromatically rising bass line that continues up to m. 58. It begins on A♭ (m. 49, beat 2) and ascends in octaves to F in m. 53; the line resumes on G in m. 54 (second half of beat 3), finally ending on E♮ in m. 58. The soprano melody line also rises chromatically in mm. 50-60. Together, these two lines rise dramatically to a C♯ minor harmony in m. 59. The tonality of C♯ minor is prolonged in mm. 59-62 through the reiteration of a C♯ minor triad (L.H.).

In mm. 63-64 a sequential passage containing a chromatic soprano line (R.H.) over broken triads moving chromatically (L.H.) leads to the tonality of E minor in m. 65. A similar passage in mm. 69-70, stated up a third and altered slightly, leads to the tonality of G♯ minor in m. 71. Thus, the three fleeting tonalities within mm. 59-78 outline a rising C♯ minor triad (C♯ - E - G♯). On a larger scale, the melodic material at the opening of section B (mm. 36ff.) initiates a gradual, large-scale ascent (though not always chromatic) that culminates on the tonality of G♯ minor in m. 71.

A lengthy unstable area immediately follows the G♯ minor tonality in mm. 79-93. This passage primarily consists of several strings of sequences and quasi-sequentially treated material, to be discussed later. To return to the home key of A minor, Rachmaninoff utilizes a descending chromatic line in m. 93 (L.H., F-E-D♯-D♮-C♯-C). The large-scale tonality of A minor returns emphatically with the recapitulation of opening material (from mm. 6ff.) in mm. 94-101. This return combines the material of mm. 6-10 with mm. 12-18 (omitting the chromatic scale), and leads directly to a D minor harmony in m. 100 (compare to m. 16); however, this time the D minor chord fails to lead back immediately to A minor. Instead, a sequential passage follows in mm. 102-109 that offers a final moment of harmonic uncertainty. This passage contains a long, descending chromatic line in the top voice that begins on C in m. 101, is interrupted in mm. 103 and 105, and ends one octave lower on C in m. 109, beat 3 (ex. 39). An augmented dominant chord of A minor at the end of this passage (m. 109, beat 3) confirms

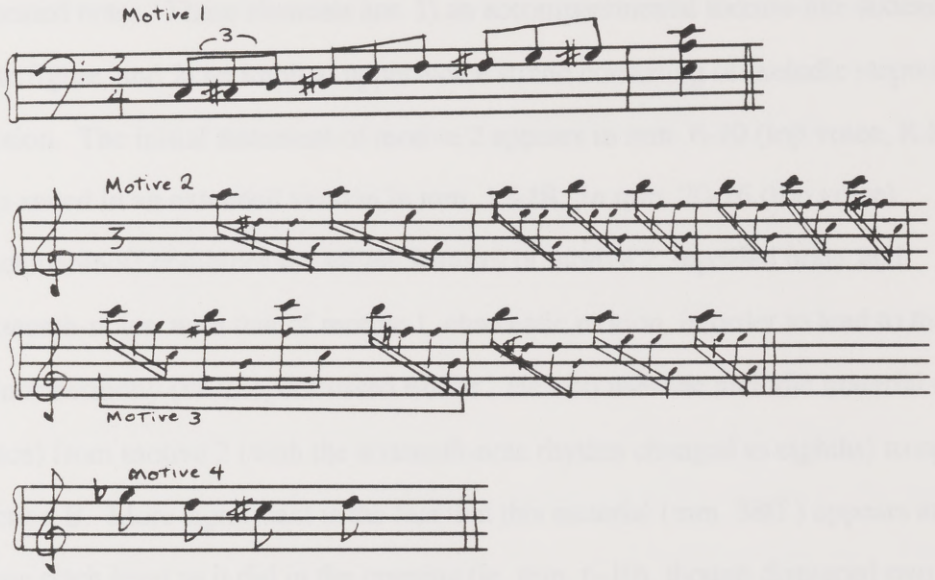
Example 39 (etude no. 6, extracted from mm. 101-109)



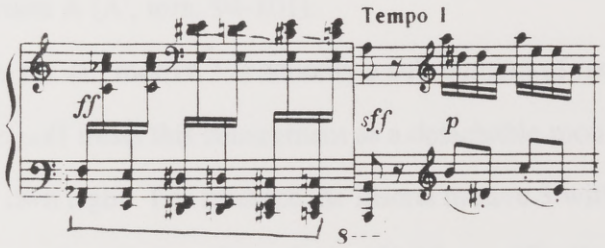
the home tonality. In mm. 111-112 (R.H.) Rachmaninoff uses a series of enharmonically respelled major triads to lead chromatically to, and reinforce, an A minor triad (m. 112). The piece ends with a return of the dramatic opening gesture from mm. 1-5.

As mentioned previously, Rachmaninoff derives most of the motivic material in this etude from the opening ten measures. Example 40 shows the four most commonly found motives. Motive 1 is a rising chromatic line, stated in octaves, that first appears in mm. 1-5 (bass). It occurs again, altered rhythmically, in mm. 11 and 19. Motive 1 helps to articulate the ABA' structure since it leads directly into section B (mm. 34, beat 3-35) and, in an inverted (descending) variation, leads to section A' in mm. 93-94 (bass, see ex. 41); moreover, the piece ends with motive 1. In addition, all of the chromatic lines that appear throughout the piece in various lengths, registers, and forms (i.e. both ascending and

Example 40 (etude no. 6, extracted from mm. 1-10)



Example 41 (etude no. 6, mm. 93-94)



descending) are derived from motive 1. Occasionally these lines span several measures, such as in mm. 20-26 (R.H., top voice) and 52-60 (top voice). A long, descending chromatic line that spans the sequential passage of mm. 28-33 (R.H., top voice), displays the inverted form of motive 1.

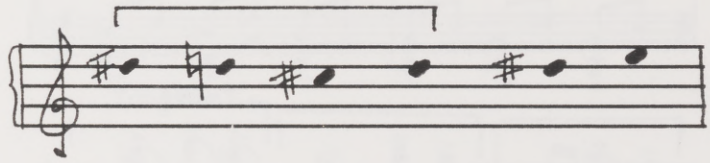
Motive 2 consists of two distinguishing elements, both of which involve repeated notes. These elements are: 1) an accompanimental toccata-like sixteenth-note figure, and 2) an implied upper-voice strand consisting of melodic stepwise motion. The initial statement of motive 2 appears in mm. 6-10 (top voice, R.H.); it is stated in an extended version in mm. 12-18. In mm. 20-26 (top voice) Rachmaninoff combines the salient features of motive 2, repeated notes and sixteenth-notes, with that of motive 1, chromatic motion, in order to lead to the G minor harmony (m. 26), discussed earlier. He also uses the melodic material (top voice) from motive 2 (with the sixteenth-note rhythm changed to eighths) to open section B. More significant is the fact that this material (mm. 38ff.) appears at the same pitch level as it did in the opening (ie. mm. 6-10), though displaced two octaves lower. Furthermore, motive 2 reinforces the home tonality of A minor in the return of section A (A', mm. 94-101).

As shown in ex. 40, motive 3 is actually a subsegment of motive 2. In other words, Rachmaninoff treats this subsegment as a detachable motive that may be developed in its own right. For instance, he inserts motive 3 within the long, chromatically ascending soprano line of mm. 50-60, specifically, in mm. 52, 54, and 56. The most interesting use of motive 3 appears in mm. 107-109 (top voice) where it undergoes sequential treatment.

Motive 4, the least common of the four, is a chromatic turn figure that initially appears in the left hand of mm. 9-10 (E♭-D-C♯-D). Rachmaninoff employs this motive primarily in section B, specifically, mm. 60-62 (E♯-E-D♯-E

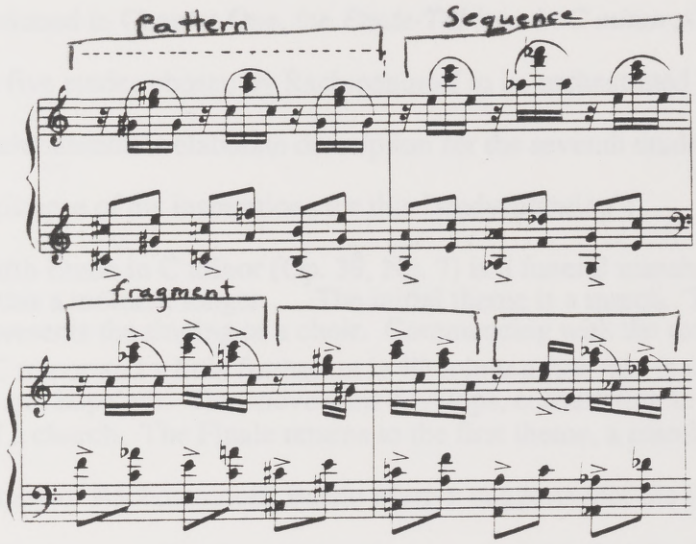
in the top voice), and mm. 66-68 (G♯-G-F♯-G, top voice). He extends motive 4 by two semitones in mm. 111 and 113 in order to cadence on an A minor chord (ex. 42).

Example 42 (etude no. 6, extracted from mm. 113-114)



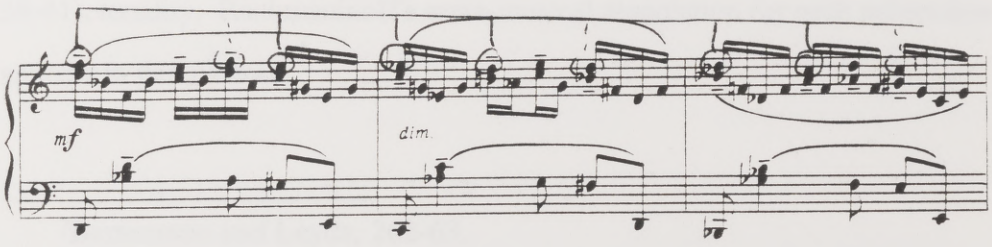
As with the previous etudes of Op. 39, no. 6 contains a good deal of sequential and quasi-sequential passages. In addition to the examples discussed earlier (ie. mm. 107-109 and 26-27), there are several worth mentioning. For example, Rachmaninoff creates motive 2 and its accompaniment by repeating a three-beat pattern (the last two beats of m. 6 and the first beat of m. 7) up a step twice in mm. 7-9. He employs the technique of sequential fragmentation in the passage that includes mm. 89-92, starting with a three-beat pattern in mm. 89-90 (treated quasi-sequentially) and shortening it to a two-beat segment in mm. 91-92, thus achieving an effect of acceleration (see ex. 43). Another example of sequential fragmentation appears in mm. 22-25 where a six-beat pattern (beginning on the second beat of m. 20 and ending on the first beat of m. 22) is restated up a step in mm. 22-24. Rachmaninoff then immediately derives a one-beat fragment from m. 23,beat 3; this fragment is subjected to sequential treatment in mm. 24-25, where it ascends by half-steps.

Example 43 (etude no. 6, mm. 89-92)



Frequently, Rachmaninoff uses sequential passages to lead from one tonality to another, such as in mm. 63-65 (C♯ minor to E minor), and 69-71 (E minor to G♯ minor). At times several sequential units are spanned by a long, chromatic line in the top voice (right hand); along with the above three passages, other examples appear in mm. 29-32, 102-106, and 107-109 (ex. 44).

Example 44 (etude no. 6, mm. 107-109)



Etude No. 7

As mentioned in Chapter One, the *Etude-Tableau in C minor*, Op. 39, No. 7, is one of the five etudes chosen by Rachmaninoff to be orchestrated by Respighi in 1930. Rachmaninoff's elaborate description for the seventh etude provides us with a rare glimpse of his inspirations for this "study-painting":

> The Fifth Etude in C minor (Op. 39, No. 7) is a funeral march. Let me dwell on this a moment longer. . . The initial theme is a march. The other theme represents the singing of a choir. Commencing with the movement in 16ths in C minor and a little further on in E♭ minor a fine rain is suggested, incessant and hopeless. This movement develops, culminating in C minor-the chimes of a church. The Finale returns to the first theme, a march.[7]

In his biography of Rachmaninoff, Barrie Martyn suggests that the funeral being depicted by Rachmaninoff is that of his colleague, Scriabin.[8] Whether Rachmaninoff conceived of this program before he composed the music is uncertain, but the two are very closely related.

The unusual form of the piece is illustrated in figure 7. As shown in the figure, there are two large sections, A and B. Each of these large sections consists of three subsections (lower case letters) that are distinguished by contrasting thematic material and, except for the very beginning of part B (mm. 39-41), tonality. Rachmaninoff's extra-musical association for each subsection appears in parenthesis.

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[7]Bertensson and Leyda, 262-63.

[8]Martyn, 275. Martyn supports his case by pointing out that Scriabin's funeral took place on a rainy day, and that the event had a profound effect on Rachmaninoff.

FIGURE 7 (form and thematic/tonal plan of etude no. 7)

SECTION A (mm. 1-38)

Subsection (Rachmaninoff's program)	Measure Nos.	Tonalities
a (funeral march)	1-25	C minor
b (singing of a choir)	26-32	*(E♭ major)
a'	33-38	C minor

SECTION B (mm. 39-end)

c (rain motive)	39-41	**C minor
	42-76	E♭ minor
	77-89	Unstable
d (church chimes)	90-102	A♭ major
a" (finale-return of the funeral march)	103-end	C minor

*The tonality of E♭ major acts as a secondary area within the larger context of the opening C minor tonality.

**The large section B of this piece is articulated by a change of tempo, mood, and melodic material, rather than a change of tonality.

Despite the large two-part design shown in figure 7, the C minor etude also exhibits traits of ternary, one-part, and rondo forms. A case can be made for a ternary structure since there is a return of the opening funeral march theme (mm. 1-2) in mm. 103-105 (a") and since mm. 39-102 provide a contrast of tempo, thematic material, mood, and tonality (after the first several measures). However,

the return of the funeral march (a") is proportionally too short to qualify it as the third section of an ABA' design. Rachmaninoff seems to be recalling it as an after-thought rather than treating it, as in previous etudes, as a dramatic event.

Factors supporting a one-part formal interpretation include a sense of structural continuity from beginning to end. Moreover, the two-part interpretation shown in figure 7 is weakened by the fact that mm. 39-41 (which the figure shows as the beginning of section B) continue the C minor tonality of the preceding measures, with the gap between mm. 38-39 being bridged by a V7-i cadence in C minor. However, the thematic material in mm. 39ff. contrasts with that of mm. 1-38, thus creating a significant mood change between these two sections; this undermines a strict one-part form interpretation.

The rondo form trait in this etude is exhibited by the two reappearances of the opening funeral march theme (see figure 7, a' and a"). However, the final return (a", m. 103) appears very late in the piece and, as previously mentioned, is proportionally very brief; it simply rounds off the material at the end of section B. Thus, although figure 7 indicates a large two-part structure, this etude also displays some aspects of other formal schemes (ternary, one-part, and rondo). The lack of formal clarity suggests that Rachmaninoff was guided by his extra-musical conception rather than by adherence to a pre-existing formal plan. This would support the notion that he conceived of the program before he composed the music.

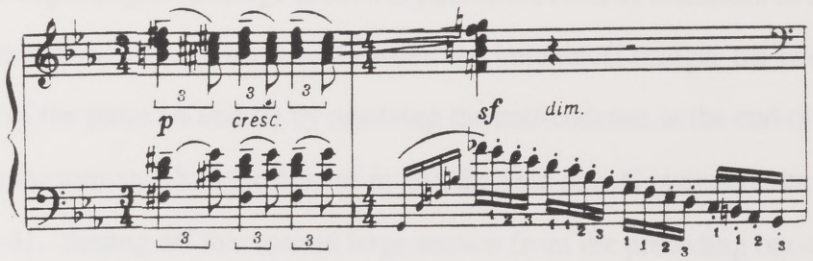
The main tonal areas of the etude include C minor (in part A and at the beginning of part B), E♭ minor, A♭ major, and C minor. Although these keys predominate, there are a good deal of harmonic ambiguities throughout. For example, the home key of C minor is not immediately apparent in the opening measures. The piece begins mysteriously with a ii$^{\flat}{}^{4}_{3}$ of C minor. This striking harmony initiates the funeral march theme, which eventually leads to an A♭ major chord (second inversion) on the downbeat of m. 2. This chord is reiterated three times in mm. 3-4, suggesting A♭ major as the opening tonality. However, in m. 4 a chromatic bass line leading to a V of C minor on beat 4 weakens A♭ major and affirms C minor as the tonic key.

More harmonic uncertainty arises as mm. 1-4 are restated up a fourth (in slightly altered form) in mm. 6-9. In this case a D♭ major chord is reiterated; this chord may be heard as either a Neapolitan chord of C minor or as a IV/A♭ major. Rachmaninoff resolves the ambiguity with a V^7 (with an anticipation tone C substituting for the leading tone B)-i cadence in C minor in mm. 10-11. Therefore, the A♭ harmony ultimately functions as VI/C minor here; however, the emphasis on this harmony does foreshadow the emergence of the tonality of A♭ major later in the B section.

In mm. 12-13 Rachmaninoff begins moving away from C minor by using a variant of the funeral march theme; in this case it leads to a B minor chord on the downbeat of m. 13. This harmonically remote progression is striking; Rachmaninoff uses a good deal of chromatically altered chords and exotic

harmonies in this etude for atmospheric effect. In mm. 13-14 bass octave E♭s on beat 4 anticipate the arrival of an E♭ minor chord in m. 17 (beat 1), which in turn foreshadows the E♭ minor tonal area within section B. Reiterated pedal C♭s in the left hand of mm. 14-15 clash with the E♭ minor harmony and sustain the atmospheric mood. On the downbeat of m. 20 the B minor chord from m. 13 returns and is reiterated throughout mm. 20-21. This is followed by the arrival of a dominant seventh chord of C minor on the downbeat of m. 22 (R.H.) through chromatic voice leading and the enharmonic respelling of E♯ as F♮ (ex. 45). In

Example 45 (etude no. 7, mm. 21-22)



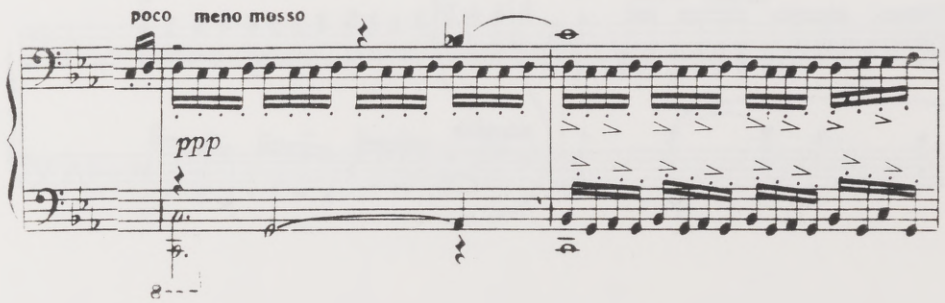
mm. 23-25 the funeral march returns on its original pitch level, truncated somewhat with an octave bass line added, and confirms the home tonality of C minor.

The subsection that immediately follows (b, singing of a choir) introduces the brief tonal area of E♭ major, through its dominant seventh chord, which appears prominently at the opening of the passage (m. 25, last eighth-note, and throughout mm. 26-27). Although the tonic chord of E♭ major appears briefly in mm. 29-30, it is not cadentially established in subsection b; this enhances the

floating, distant quality of the passage. Rachmaninoff also utilizes extended harmonies (added sevenths and ninths) in parallel motion to depict the sound of a choir. In m. 28 (beat 1) a D♭ major chord (♭VII/E♭) adds a modal flavor, evoking a church-like mood.[9] Subsection b flows directly into subsection a' (m. 33, first return of the funeral march). Here the funeral theme leads unexpectedly to an E major chord in m. 34 (beat 1) that is reiterated in mm. 35-36. Subsection a' and the large section A conclude dramatically with a half-cadence on the dominant seventh chord of C minor in m. 38.

The beginning of the large section B (and subsection c) continues in the key of C minor in m. 39. As mentioned earlier, Rachmaninoff bridges the two large sections of the piece (A and B) by resolving the half-cadence at the end of A (m. 38) with the tonic pitch in the bass of m. 39; the bass note C is then reiterated in mm. 40-41. Setting off this second large section from the preceding one are a change of tempo, mood, and the new "rain" motive (in staccato 16ths, ex. 46).

Example 46 (etude no. 7, upbeat to m. 39-m. 40)

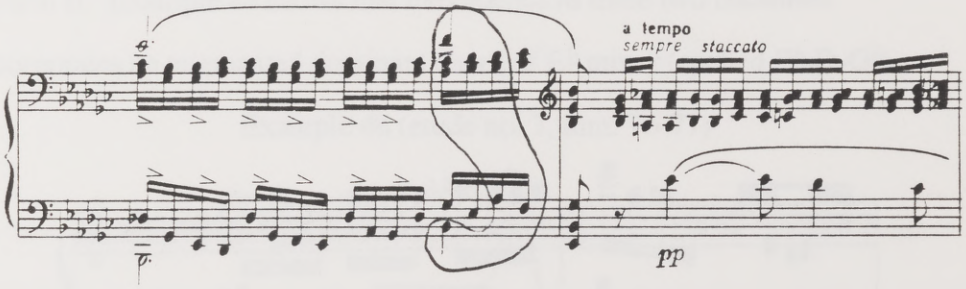


[9]Rachmaninoff was fascinated by Russian liturgical chants throughout his career and used them, along with some of his own invention, in his choral work *All-Night Vigil*, Op. 37.

This motive appears as an ostinato throughout subsection c in various guises (i.e. altered intervallically) and registers. The large B section is also characterized by a long, gradual registral ascent beginning in m. 39 that reaches its peak at the beginning of subsection d (m. 90).

In m. 42 the bass note C descends to B♭, the dominant pitch of E♭ minor, and the new key signature of E♭ minor appears. As noted earlier, this initial arrival of the tonality of E♭ minor was foreshadowed by the E♭ minor chord in m. 17. The leading tone of the new key, D♮, appears in the tenor of m. 42 (beat 4, second half) creating an augmented dominant chord of E♭ minor (enharmonically respelled as B♭-D-G♭). The leading tone D♮ at the end of m. 42 (L.H.) descends chromatically to D♭ at the beginning of m. 43 and combines with a bass pedal B♭ to form a minor dominant ninth chord of E♭ minor on beat 4 (m. 43), surrounded by passing tones (ex. 47). This chord helps to prepare the arrival of the tonic

Example 47 (etude no. 7, mm. 43-44)

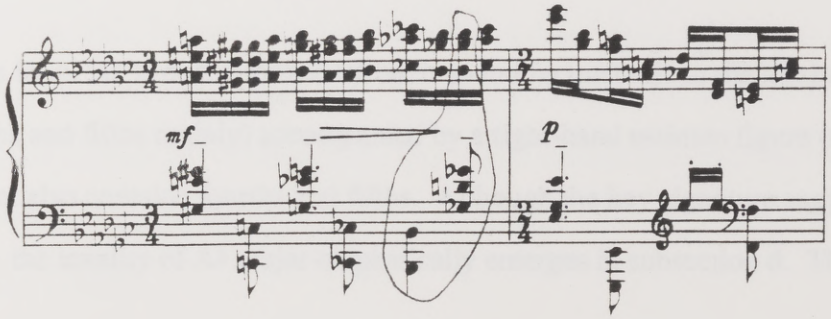


chord of E♭ minor, which occurs on the downbeat of m. 44. Despite the modal effect of the minor dominant ninth harmony, this cadence confirms the tonality of E♭ minor.

The tonality of E♭ minor predominates throughout the long subsection c. However, there is a good deal of localized chromatic motion, especially in the right-hand chordal accompaniment figure. These chromatically moving chords, which incorporate the rain motive (see ex. 45), add color to the essentially diatonic melody line in the left hand. At times the accompanying chords (R.H.) lead to an important harmony like the Neapolitan chord of E♭ minor in m. 46 (beat 2, F♭-A♭-C♭). The Neapolitan/E♭ minor arrives even more strikingly on the downbeat of m. 69. The ♭2 scale degree, F♭, also appears elsewhere throughout this subsection within other harmonic contexts; examples include mm. 52, 55, 63 (R.H.), and 65 (R.H.).

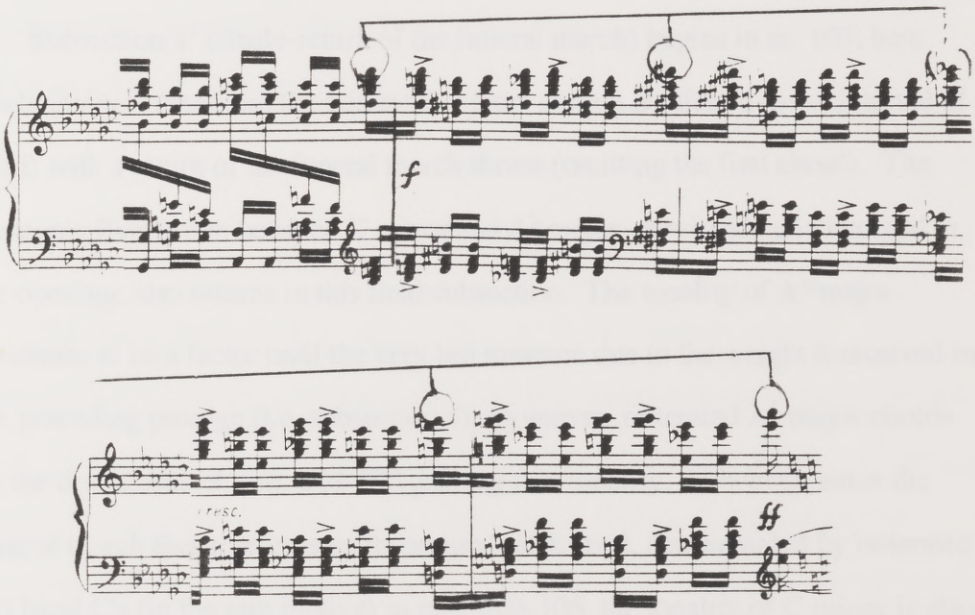
In mm. 76-77 Rachmaninoff reinforces the tonality of E♭ minor within section B. Example 48 shows that the cadence in these two measures incorporates an augmented dominant chord of E♭ minor (spelled B♭-D-G♭).

Example 48 (etude no. 7, mm. 76-77)



Following this re-emphasis of E♭ minor, a transition-like passage begins in m. 77 that leads to subsection d (chimes of a church) and the return of the key signature of C minor in m. 90. This harmonically unstable passage (mm. 77-89) primarily consists of sequences and quasi-sequentially treated material. In addition, a soprano melody line in mm. 85-89 ascends chromatically from F to A♭ (last 16th note, ex. 49). The beginning of the chimes subsection (d), which

Example 49 (etude no. 7, mm. 85-89)



arrives in m. 90, is characterized by open-sounding intervals in the left hand (fourths and fifths mainly) accompanied by a right-hand ostinato figure (mm. 90-94) that also contains fourths and fifths. Although the key signature suggests C minor, the tonality of A♭ major emphatically emerges in subsection d. This is due

to the reiteration of the pitch A♭, especially in the low register, throughout mm. 90-102; moreover, a pedal A♭ appears in the left hand throughout mm. 92-94 and A♭ major chords appear on the downbeats of mm. 99-100. This declamatory arrival of the tonality of A♭ major was foreshadowed by the reiterated A♭ major chord at the opening of the piece (mm. 2-4). In m. 95 the left hand A♭ pedal disappears and the chimes theme descends and gradually dissipates until it is completely gone by m. 103.

Subsection a" (finale-return of the funeral march) begins in m. 103; here Rachmaninoff combines the rain motive from section B (altered to the interval of a third) with a return of the funeral march theme (omitting the first chord). The harmonic fluctuation between C minor and A♭ major, previously encountered in the opening, also returns in this final subsection. The tonality of A♭ major continues to be a factor until the very last measure due to the weight it received in the preceding passage (i.e. subsection d); moreover, reiterated A♭ major chords on the downbeats of mm. 104-105 prolong that tonality. However, since the funeral march theme returns on its original pitch level, accompanied by reiterated left hand C's (in the rain motive) in mm. 103-105, the tonality of C minor is also strongly implied. To further increase the harmonic ambiguity, Rachmaninoff utilizes a chord that could function as an augmented dominant of either A♭ major or C minor (spelled E♭-G-B♮) in mm. 106 (beat 2, second half) and 108 (beat 3, second half). This ambiguity is resolved in the final measure, as the piece ends quietly in C minor.

Like the previous etudes of Op. 39, etude no. 7 contains several sequential and quasi-sequential passages. In addition to the quasi-sequential treatment of mm. 1-4 in mm. 6-9, noted previously, mm. 12-15 (beats 1 and 2) are restated in slightly altered form up a major third in mm. 16-19 (beats 1 and 2). Within the lengthy B section sequential passages provide some cohesiveness to the often wandering thematic material. Examples appear in mm. 63-66, 72 (beat 2)-75, and 77-79. In addition, Rachmaninoff employs the technique of sequential fragmentation in mm. 81 (last sixteenth)-85 where a two-beat pattern is broken down to a shorter one-beat pattern.

Etude No. 8

The *Etude-Tableau in D minor* , Op. 39, No. 8, exhibits several characteristics found in previous Op. 39 etudes. These include a ternary formal plan, the foreshadowing of tonal areas, bass pedal points that stabilize tonal areas, and several sequential/quasi-sequential passages. Due to the abundance of extended tertian harmonies, mainly minor chords with added sevenths and ninths, this etude is perhaps the most impressionistic-sounding of the set. This quality is rare in Rachmaninoff's music; his general disinterest in impressionism is revealed in his performing repertoire, which contained only a handful of Debussy's

works.[10] Furthermore, Harold Bauer, a famous pianist and pupil of Paderewski, recalled a conversation with Rachmaninoff in his memoirs in 1912:

> I met a number of distinguished musicians at Koussevitsky's home in Moscow. The man who interested me most was Rachmaninoff. During dinner we spoke of music in France. . .I asked him if he played Debussy's piano pieces, and he said no, he did not care for that music.[11]

The ternary design of the eighth etude is shown in figure 8. As shown in this figure, the large-scale tonalities of the piece are D minor, F major, and D minor; furthermore, the outer A sections are more tonally stable than the middle B section. Section B, mm. 29-65, provides a contrast of tonality (since D minor is absent from part B) and melodic material. Section A' returns dramatically in m. 68.

Part A consists of two thematically related subsections (mm. 1-14 and mm. 14-28). At the beginning of both subsections, the tonality of D minor is asserted by a bass pedal D (mm. 1-6 and mm. 14-19). Indeed, the tonality of D minor predominates throughout the opening A section, as shown in figure 8. However, the F major and B♭ major harmonies also receive some emphasis within the first and second subsections, respectively. The first phrase (mm. 1-13) drives towards a climax on an F major harmony in m. 8 (see ex. 50). Note that m. 8 is both the highest and loudest point (marked mezzo forte) in the phrase. This F major harmony, however, is not the harmonic goal of this opening subsection; mm. 9-10 take us up another third to A minor, thus completing a D-F-A

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[10]Palmieri, 72-73.
[11]Bertensson and Leyda, 183.

FIGURE 8

SECTION A (mm.1-28)

Measure nos.	Large-Scale Tonalities	Secondary Areas
1-28	D minor	

SECTION B (mm. 29-67)

29-35	F major	
36-42		B♭ major
43-67: Unstable		
[48-50		G major]

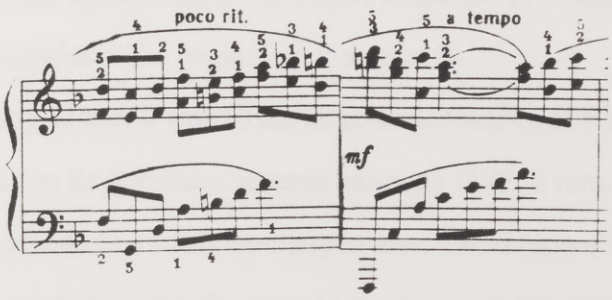
SECTION A' (mm. 68-96)

68-96	D minor	

CODA (mm. 97-end)

97-end	D minor	

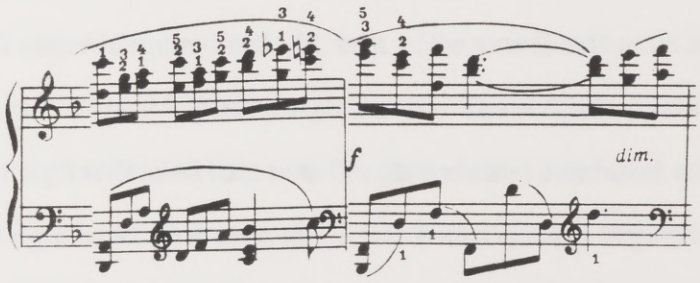
Example 50 (etude no. 8, mm. 7-8)



arpeggiation. In mm. 12 (last eighth note) and 13 (last eighth note) second inversion Neapolitan chords lead to F major and D minor harmonies in mm. 13 (downbeat) and 14 (downbeat), respectively; the resulting A-F-D harmonic progression of mm. 11-14 reverses the upward arpeggiation of mm. 1-10, bringing the first long phrase to a close. The Neapolitan harmony of D minor will gain greater importance as we shall see later.

The second long phrase in part A (mm. 14-28) is a variation of the first phrase, and reaches a climax on a different harmony, B♭ major, in m. 23 (ex. 51). This B♭ harmony then leads back to the tonic D in mm. 23-25, transposing

Example 51 (etude no. 8, mm. 22-23)



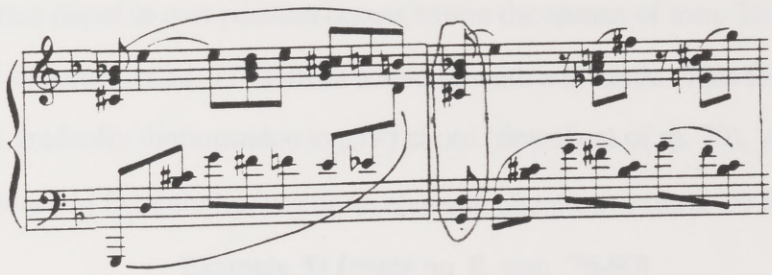
the F to A motion of mm. 8-10 down a fifth (or, more literally, up a fourth). This emphasis on F major and B♭ major harmonies in section A foreshadows their appearance as tonalities at the beginning of section B.

At the opening of part B (m.29) the large-scale tonality of F major is implied through emphasis on its dominant seventh harmony (V/F in mm. 31-35), which is immediately preceded by a ii/F harmony in mm. 29-30 (downbeat). When it first arrives, one could hear this G minor harmony as a subdominant of D minor;

as the passage continues, the F major tonality becomes clear, due to the heavy emphasis on V/F in mm. 31-35. Strikingly, this dominant never resolves; instead, mm. 36-42 restate, in varied form, the preceding seven measures (mm. 29-35) up a fourth, thus, resulting in the emergence of the secondary area of B♭ major. It should be noted that through the foreshadowing of F major and B♭ major in part A (mentioned above) and, subsequently, emphasizing their respective dominant harmonies at the opening of section B, Rachmaninoff is able to establish the tonalities of F and B♭ major at the beginning of part B without using their respective tonic chords.

In m. 43 a harmonically unstable passage begins that leads to an unexpected arrival on a G major harmony in m. 48, beat 1 (the tone E acts as an appoggiatura that resolves to D on beat 2, second eighth note). The secondary area of G major is asserted through reiterated bass note G's (downbeats) combined with G major chords in the right hand. However, the G major area quickly begins to weaken as descending chromatic lines in the melody (top voice) and tenor voice lead to a diminished seventh chord on the downbeats of mm. 51-52 (the third of this chord, E, appears on the second eighth note). Although the spelling of this diminished seventh chord, C♯-(E)-G-B♭, suggests the key of D minor, it is difficult to hear it functioning in that key. In addition, on the downbeat of m. 52 the left hand plays a perfect fifth interval, G-D; together, these two elements (a C♯ diminished seventh chord and the perfect fifth, G-D), create a harmonically static effect (see ex. 52). Rachmaninoff prolongs this unstable passage by

Example 52 (etude no. 8, mm. 51-52)



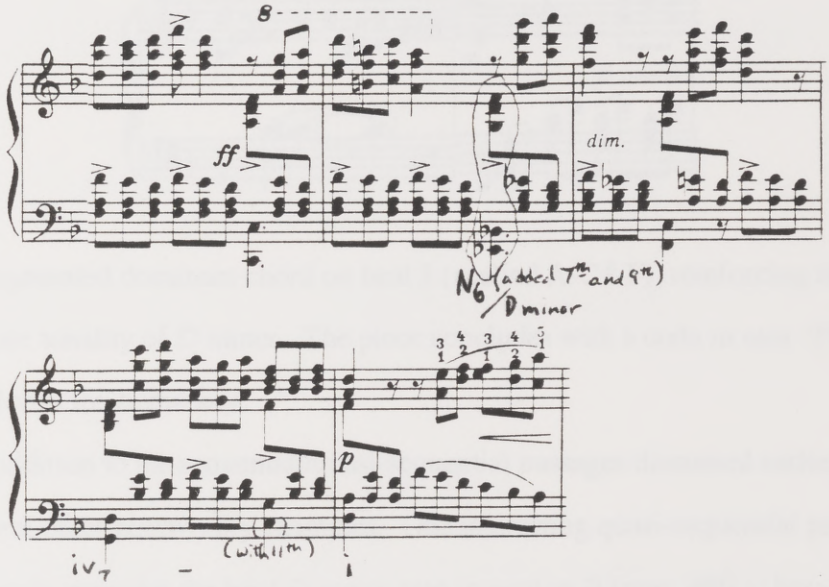
prominently maintaining the tritone interval, G-C♯ (derived from the diminished seventh chord in mm. 51-52), through m. 59; the climactic statement of this tritone occurs in m. 56, where it is played fortissimo in whole notes.

Meanwhile, the bass pedal G that was introduced in m. 48 remains in effect until m. 65. Over this pedal we hear a return of the opening soprano motive in m. 62 (beats 2 and 3); in this case the left hand crosses over the right hand to play the motive. In addition, the opening D minor seventh sonority returns over the bass pedal G. This begins to suggest that a return of section A (A') is forthcoming. In m. 62 a new conjunct, three-note motive, F-E-D, appears in an inner voice; this motive will act as an ostinato throughout much of section A'. The actual arrival of section A' and the return of the tonality of D minor occur in m. 68, confirmed by a bass octave D.

In this return of A (A') the opening melodic material appears in a more dramatic setting (mm. 68ff., top voice), presented over a thicker, more virtuosic texture. Although the large-scale tonality of D minor predominates throughout part A', some interesting harmonic progressions involving the Neapolitan chord

of D minor add color to the section. For example, a dramatic appearance of the Neapolitan chord in root position occurs within the climax of mm. 76-77; it appears on beat 3 of m. 77, with an added seventh and ninth. This fortissimo passage gradually diminuendos to a iv7 chord (downbeat of m. 79), which leads to a cadence in D minor by way of an eleventh chord on C (mm. 79-80, ex. 53).

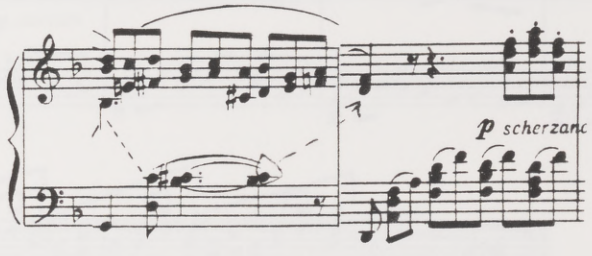
Example 53 (etude no. 8, mm. 76-80)



In m. 81 the Neapolitan harmony (with an appoggiatura C in the top voice) again appears; in this case, it progresses to a iv chord in m. 82. Rachmaninoff then sequentially restates the two-measure pattern and progression of mm. 81-82 down a major second in mm. 83-84, leading to a C minor harmony in m. 85. In m. 86 the tones C♯ and B♭ appear on beat 2 (left hand) and briefly recall the diminished seventh harmony from mm. 51-52. However, in m. 86 the tone C♯

takes a different role; here it acts as the leading tone of D minor. This is perhaps the first significant appearance of the leading tone of D minor in the piece; the main harmony in m. 86 is essentially a vii°7 over a bass pedal G, which resolves to a D minor tonic chord in m. 87 (ex. 54). In m. 88 a chromatic bass line leads

Example 54 (etude no. 8, mm. 86-87)

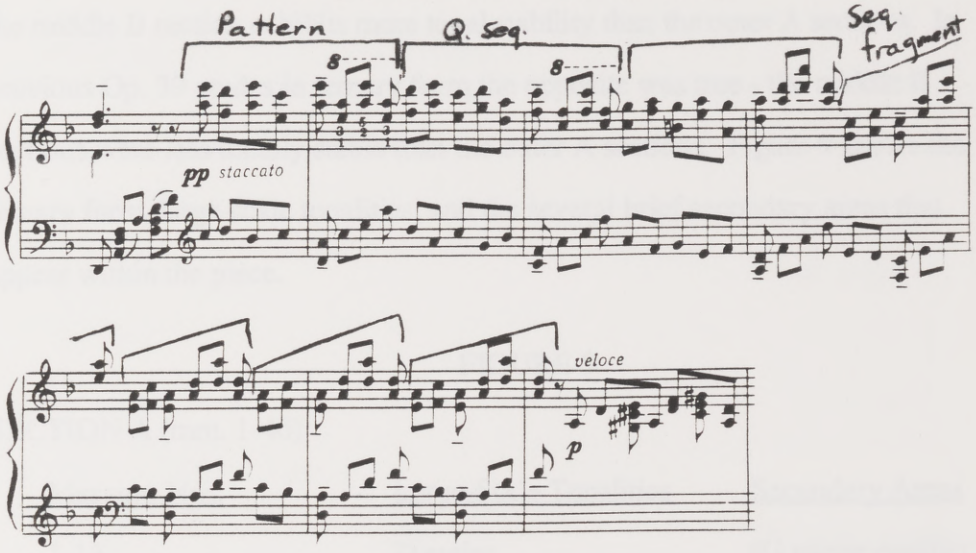


to an augmented dominant chord on beat 3 (spelled A-C♯-F), reinforcing the large-scale tonality of D minor. The piece concludes with a coda in mm. 97-end that prolongs the home key.

In addition to the sequential/quasi-sequential passages discussed earlier, there are several other noteworthy examples. One interesting quasi-sequential passage immediately precedes the brief G major area in section B (mm. 48ff.); here a two-measure pattern consisting of mm. 43-44 is restated, in altered form, down a major second in mm. 45-46, then down a major third (spelled E♭-B♮) in mm. 47-48. Another quasi-sequential passage in mm. 92-97 illustrates Rachmaninoff's sequential fragmentation technique (ex. 55). Here a pattern of three beats in mm. 91-92 (shown by the bracket) is restated, in altered form, in mm. 92-94, which in

turn is broken down to a two-beat fragment and restated in mm. 94-97. Another sequential passage occurs in mm. 101-103.

Example 55 (etude no. 8, mm. 91-97)



Etude No. 9

The *Etude-Tableau in D major*, Op. 39 No. 9, is another of the four etudes from Op. 39 orchestrated by Respighi. Rachmaninoff compared it to the E♭ major *Etude-Tableau* , Op. 33, no. 4, as having "a similar character, resembling an oriental march."[12] The D major etude completes the Op. 39 set with a festive, fanfare-like mood and is the only one in Op. 39 written in a major key. Its similarities to the preceding etudes include the extensive use of sequential passages, the foreshadowing of tonal areas, and a fairly straightforward ternary

[12]Ibid., 263.

formal plan. In addition, like in the fourth etude, a rhythmic motive consisting of two-sixteenths and an eighth permeates the entire piece.

One distinctive feature of this piece is that within its overall ternary structure, the middle B section exhibits more tonal stability than the outer A sections. In previous Op. 39 etudes in ternary form the opposite was true - the middle B sections were less tonally stable than the outer A sections. Figure 9 shows the ternary form, large-scale tonalities, and the several brief secondary areas that appear within the piece.

FIGURE 9

SECTION A (mm. 1-40)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
1-13	D major	(G minor conflict with D major)
14-28: Unstable		
23-25		F♯ minor
27		G major
29-30	(D major reinforced)	
31-33: Unstable		
34-40		C major

(Continued)

FIGURE 9 (Continued)

SECTION B (mm. 41-62)

Measure Nos.	Large-Scale Tonalities	Secondary Areas
41-62 (beat 1)	G major	

TRANSITION (mm. 62-82)

62-82: Unstable

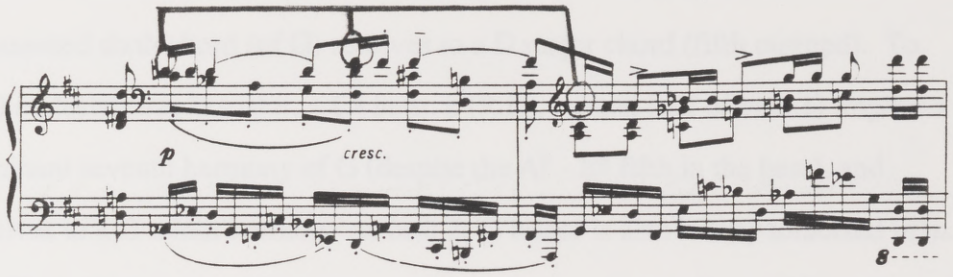
62-65	E♭ major
70-71	D major
79-82	E♭ major

SECTION A' (mm. 83-end)

83-91	D major	(E♭ major conflict with D major)
92-end	(D major)	

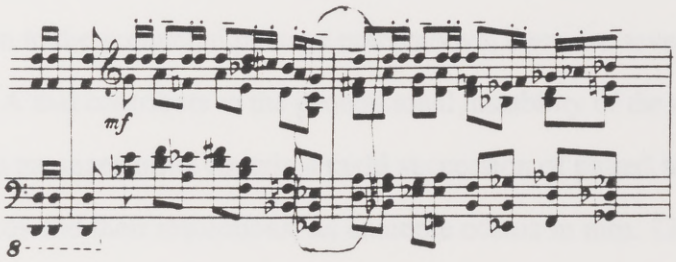
The piece opens with declamatory material in mm. 1-2 consisting of octave D's alternating with dissonant, full chords (vii°$^{4}_{3}$/D on beat 2 and borrowed iv$^{6}_{4}_{5}$ with the flatted fifth enharmonically respelled as C♯ on beat 4). Reiterated D's appearing prominently throughout mm. 1-8, along with cadences on D major chords in mm. 6 (downbeat) and 8 (downbeat), assert the home tonality. Furthermore, melodic material in the top voice of mm. 8-9 outlines a D major triad (see ex. 56).

Example 56 (etude no. 9, mm. 8-9)



Although the D major tonality tends to predominate throughout most of the opening section, the overall stability of D major weakens at times since the section passes through several brief secondary areas. For example, an important secondary tonality in the opening section is G minor/major. G minor first appears as a triad in the right hand of m. 5 (second half of beat 1). Especially striking is the appearance of a German augmented sixth chord of G in m. 6 (last eighth note) that resolves to a D major tonic chord on the downbeat of m. 7 (ex. 57). This

Example 57 (etude no. 9, mm. 6-7)

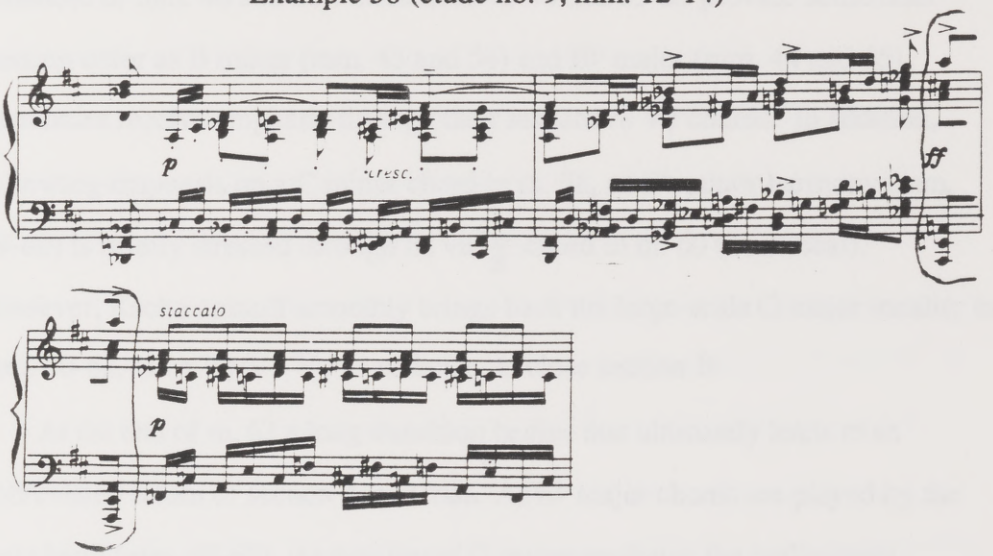


interesting progression (a Ger+6 above bass note E♭, leading to a D major triad) appears frequently throughout the etude and has an undermining effect on the stability of the home key; other examples of this progression appear in mm. 69-70

and 84-85; additionally, in mm. 10 (last eighth note) -11 (beat 1) an Italian augmented sixth chord (of G) resolves to a D major chord (fifth omitted). To further destabilize D major, a C♮ in m. 8 (R.H., second half of beat 1) implies a dominant seventh harmony of G (despite the A♭ - E♭ fifth in the bass), and resolves to a G minor harmony on beat 2; G minor is also briefly tonicized in m. 12. Thus, Rachmaninoff creates a conflict between the tonalities of D major and G minor in the opening section (mm. 1-12). More emphasis on G, in this case G major, occurs again in m. 27, and is achieved through a sequential treatment of mm. 23 (second half of beat 1) - 25 (downbeat) up a major second in mm. 25-27 (downbeat), finally cadencing on a pianissimo G major chord (see ex. 60 on pp. 116-117). This emphasis on G minor/major within section A foreshadows the stable appearance of that tonality (in the major mode) in section B. However, D major retains its status as the primary tonality of section A through fortissimo D major chords that are stated in mm. 28 (last eighth note) -29 (downbeat).

In addition to the sequential passage noted above, there are several others within section A that contribute to the general tonal instability of the opening section. These passages often contain a rapid succession of paired secondary dominant chords and their resolutions; an example occurs in mm. 12-14 (beat 1), where such a series climaxes on a fortissimo A major chord (which is not immediately preceded by its dominant chord, see ex. 58). This A major chord sounds like a dominant of D major, at least to this listener; however, it might also be heard as a tonic chord of A major by some listeners. Rachmaninoff uses a

Example 58 (etude no. 9, mm. 12-14)



similar passage in mm. 31-33 to lead to a restatement of the opening material, transposed down a major second in the secondary tonality of C major, in m. 34. C major is confirmed by a V7-I cadence in mm. 38 (beat 4) - 39, and the opening section ends in that tonality. However, C major passes quickly as a V7-I cadence in G major in m. 40 smoothly connects the end of part A to the beginning of part B. Although this cadence on a G major chord in m. 41 sounds like a modulation to the key of G major to this listener, it could also be heard as a half-cadence in C major, mainly due to the weight of C major in mm. 34-39.

Section B (mm. 41-62) provides a contrasting, harmonically stable, chorale-like passage between the two energetic outer sections. The tonality of G major prevails throughout part B due to strong V-I cadences that occur at the ends of phrases in mm. 45-46, 50, and 61-62 (the tonic chord is anticipated in the

cadences of mm. 46 and 62). Measures 42-44 and 53-55 provide some brief passing color as B minor (mm. 43 and 54) and B♭ major (mm. 44 and 55) harmonies receive emphasis through their respective V7 chords. In addition, following emphasis on a C minor chord in m. 58, an E♭ minor harmony (mm. 59-60) is briefly stressed through its vii°$\frac{4}{3}$ chord in m. 60 (downbeat). However, Rachmaninoff smoothly brings back the large-scale G major tonality in mm. 60-62, via a V7/V - V7 - I cadence, to close section B.

At the end of m. 62 a long transition begins that ultimately leads to an abbreviated return of section A material. As E♭ major chords are played by the right hand (mm. 62-63), the tonality of G major weakens; the preliminary emphasis on E♭ major in mm. 62-65 foreshadows the dramatic arrival of E♭ major in m. 79. The transition continues in m. 65 by moving away from E♭ major in mm. 68-69, and towards D major, which arrives in mm. 70-71. Rachmaninoff sets up this arrival as a kind of false return by recalling the German augmented sixth progression (discussed earlier) in mm. 69 (last eighth) - 70 (downbeat), and by restating opening material (from m. 5) in the right hand; in this case, the opening material appears over a bass pedal D. Although these elements begin to suggest a complete return of section A and the tonality of D major, Rachmaninoff delays the return and, instead, continues moving through various brief harmonic areas. These include B♭ major (mm. 73-74), B minor (mm. 75-76), and G minor (mm. 77-78), all of which are preceded by their respective dominant chords. It

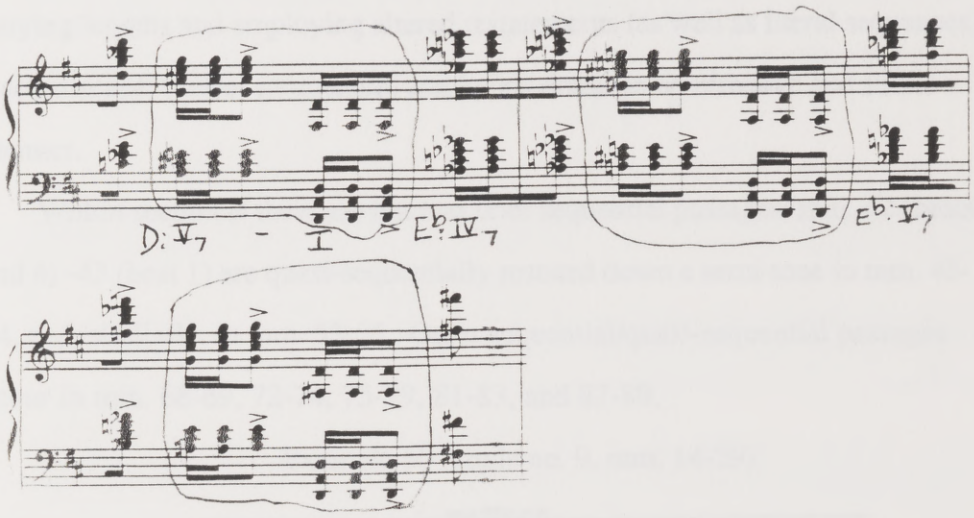
should be noted that, due to their brevity and to the overall harmonic instability of the transition, these harmonies do not qualify as true secondary areas.

As mentioned earlier, the secondary area of E♭ major arrives in m. 79, reinforced by dominant-to-tonic cadences in mm. 79-80, 80-81, and 81-82. Immediately following this E♭ major passage, opening fanfare material in its original key suddenly returns in m. 83. This somewhat unexpected, abbreviated return of section A after a long, self-contained transition is unique in the Op. 39 etudes; more typically, Rachmaninoff immediately follows section B with the return of section A (A') in his ternary etudes of Op. 39.

Also evident in the first part of section A' is a conflict between the preceding E♭ major and large-scale D major tonalities. Although the return of opening material in its original key strongly recalls the home tonality in m. 83, a bit of E♭ major lingers in mm. 83-91. This is, in part, due to the weight E♭ major received in mm. 79-82, and also to strongly articulated B♭ chords (functioning as V of E♭) on the downbeats of mm. 84 and 87. To prolong this conflict, an A♭ subdominant seventh chord (IV7 of E♭, with a flatted seventh G♭) in mm. 89-90 ultimately progresses to a dominant seventh of E♭ major (B♭ 7) at the end of m. 90-m. 91 (downbeat). This progression is interrupted by a V7-I progressions in D major in mm. 90 and 91, producing a dramatic juxtaposition of these two tonal areas (see ex. 59). Thus, in the return of A (A'), E♭ major assumes a similar role to the one that was played by G minor/major in the opening A section. However, the tonality of D major prevails as clashing chords (from mm. 1-4) resolutely

move toward pure diatonic closing material in mm. 94-97; reiterated octaves D's punctuate the ending.

Example 59 (etude no. 9, mm. 89-91)

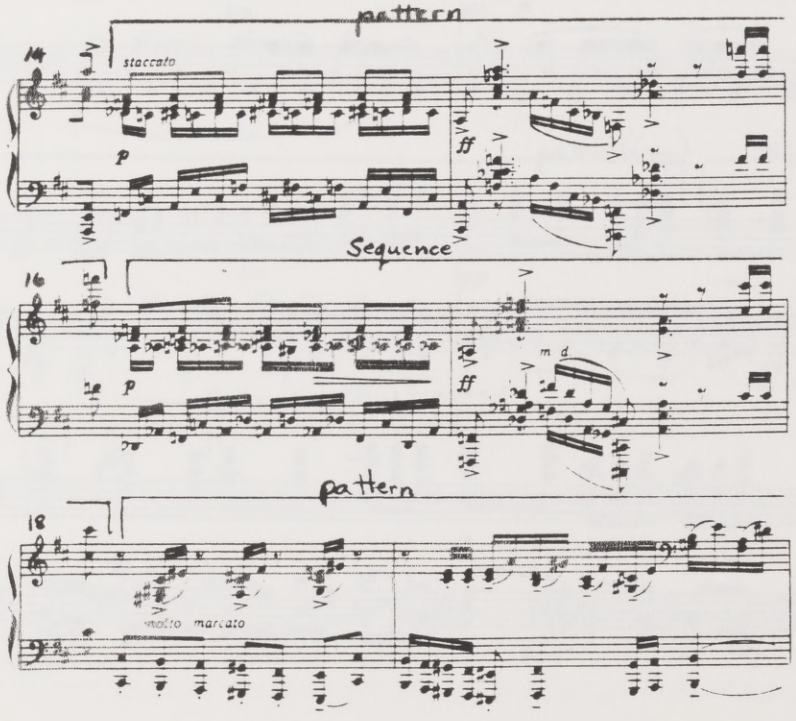


As mentioned earlier, Rachmaninoff treats much of his material sequentially throughout this etude. Along with the examples cited in mm. 12-14, 23-27, and 31-33, the opening A section contains an exemplary passage, mm. 14-29, that typifies Rachmaninoff's skill with sequences (see example 60). Initially, a two-measure pattern in mm. 14-16 (marked with a bracket) is restated down a major third in mm. 16-18. Another two-measure pattern immediately follows in mm. 18-20 that is quasi-sequentially restated down a major second in mm. 20-22. In m. 22 Rachmaninoff uses sequential fragmentation by deriving and sequencing a one-beat fragment from the previous pattern. The passage continues as a new two-measure pattern in mm. 23-25 is restated up a major second in mm. 25-27.

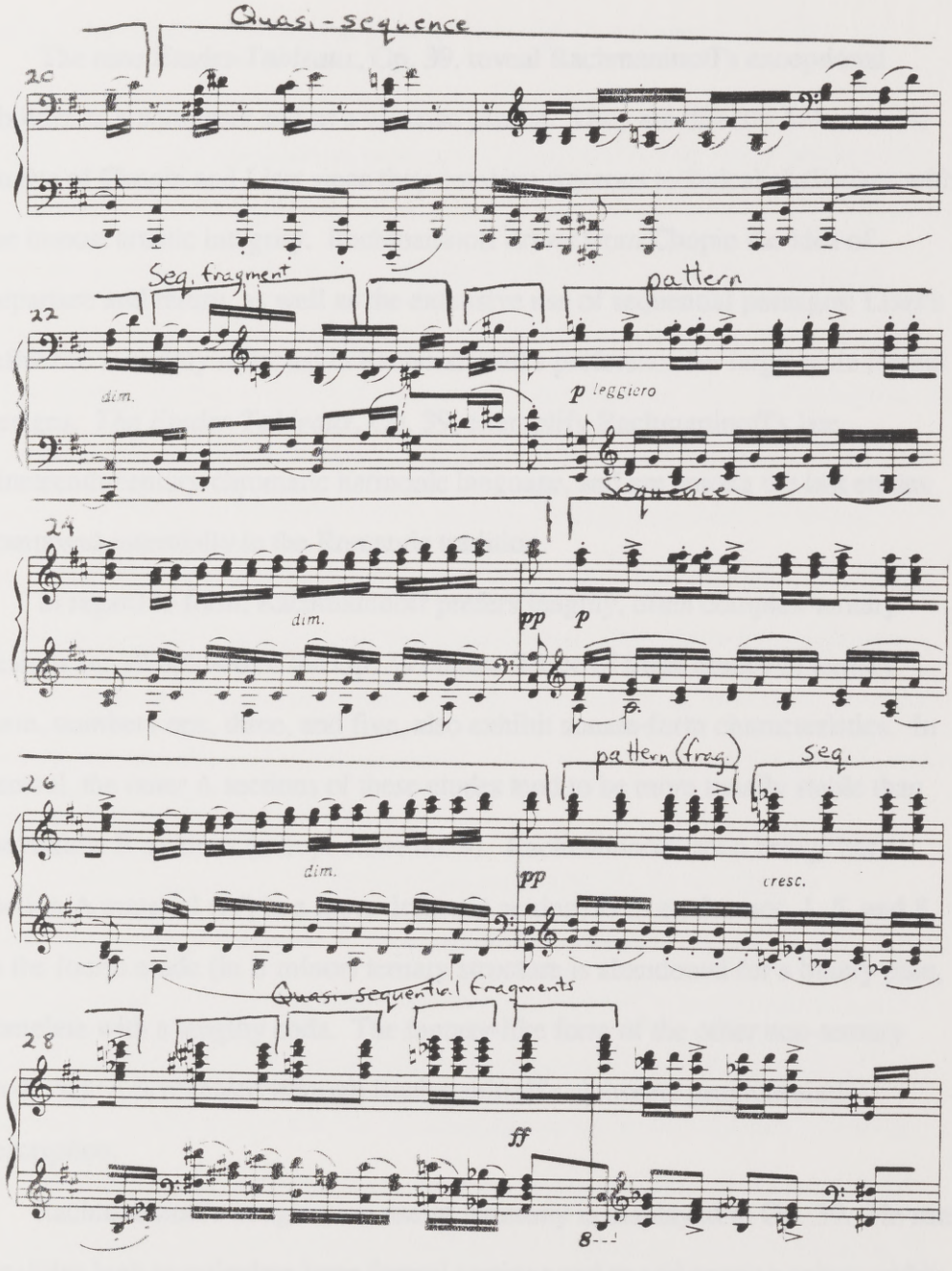
From this sequence Rachmaninoff then derives and restates, in quasi-sequential form, a two-beat fragment in mm. 27-28, which is subsequently broken down to a one-beat fragment and sequenced in mm. 28-29. Thus, by using patterns of varying lengths and employing altered restatements (as well as literal sequences), Rachmaninoff creates momentum and builds drama in an effective and subtle manner.

Within section B there are but two brief sequential passages; mm. 42 (beats 3 and 4) -43 (beat 1) are quasi-sequentially restated down a semi-tone in mm. 43-44, and, similarly, in mm. 53-55. Other sequential/quasi-sequential passages occur in mm. 68-69, 72-74, 75-79, 81-83, and 87-89.

Example 60 (etude no. 9, mm. 14-29)



Example 60 (Continued)



CONCLUSION

The nine *Etudes-Tableaux*, Op. 39, reveal Rachmaninoff's exceptional abilities as a composer and as a virtuoso pianist. They are directly linked to the etudes of Chopin and Liszt since they combine rigorous technical challenges with the utmost artistic integrity. Rachmaninoff draws from Chopin the idea of departure and return, as well as the extensive use of sequential passages; Liszt's influence is mainly reflected in Rachmaninoff's preference for large-scale formal designs. *The Etudes-Tableaux*, Op. 39, exemplify Rachmaninoff's late nineteenth-century chromatic harmonic language, and are among the last etudes composed essentially in the Romantic tradition.

In regard to form, Rachmaninoff prefers lengthy, often complex ternary designs for all but two of the Op. 39 etudes. Three of these etudes in ternary form, numbers one, three, and five, also exhibit sonata-form characteristics. In general, the outer A sections of these etudes tend to be more tonally stable than the middle B sections (except etude no. 9). Rachmaninoff often brings back section A material (A') in a more dramatic setting, as in etudes nos. 1, 5, and 8. In the fourth etude (in B minor) ternary structure is abandoned for a binary plan, complete with a lengthy coda. The fantasy-like form of the other non-ternary etude, no. 7, is revealed through Rachmaninoff's elaborate programmatic description.

Rachmaninoff's imaginative use of harmony is displayed in Op. 39. He uses tonalities both to articulate large formal sections and to add passing colors within

these sections; moreover, he often uses several different secondary areas throughout the course of an etude (e.g. etude no. 2, sections A and B). Rachmaninoff establishes tonalities primarily through dominant or altered dominant chords, reiteration/assertion, or through chromatic voice leading that arrives on a harmonic goal; the latter must be used in combination with one of the first two methods in order to be completely effective. In addition, he often foreshadows tonalities by emphasizing a particular harmony early in the piece. Occasionally Rachmaninoff sets up a conflict between two different tonalities, as in etude no. 4 (section B, between B minor and E minor) and in etude no. 9 (section A', between E♭ major and D major). In each case, one of the two tonalities ultimately emerges more prominently. There are also several passages that display a prolonged sense of tonal ambiguity. These arise due to various factors, such as the superimposition of two harmonies (e.g. etude no. 3, within part A), the absence of functional tonality (e.g. etude no. 8, within part B), and the abundance of sequential passages.

Generally speaking, the *Etudes-Tableaux*, Op. 39, do not display Rachmaninoff's lyrical melodic style, with the exception of nos. 2 and 5. Instead they rely more on figurational or short motivic material, which Rachmaninoff treats in various ways. For example, in etudes nos. 4 and 6 Rachmaninoff introduces several motives in the opening measures; he subsequently develops these motives throughout the piece. In some of the etudes a particular type of harmony becomes more important, such as the Neapolitan chord in etude no. 8

and various diminished seventh harmonies in etude no. 5. A compositional device used extensively in all the Op. 39 etudes is the sequential treatment of material. Sequential passages are often used to lead from one tonal area to another, such as in etude no. 1 between sections A and B (mm. 19ff., from G minor to D major). Moreover, Rachmaninoff effectively creates momentum and builds drama by varying the lengths of sequential patterns (i.e. sequential fragmentation), and by utilizing quasi-sequences rather than strict sequential restatements.

In summary, these pieces reveal Rachmaninoff's concern both for musical craftmanship and emotional expressivity. Despite earlier criticisms of being old-fashioned, his music has successfully survived the test of time. In an interview with *The Etude* in 1941, Rachmaninoff candidly discussed his reasons for composing:

> Composing is as essential a part of my being as breathing or eating; it is one of the necessary functions of living. My constant desire to compose music is actually the urge within me to give tonal expression to my thoughts. . . That, I believe, is the function that music should serve in the life of every composer; any other function it may fill is purely incidental.
>
> . . . Music should, in the final analysis, be the expression of a composer's complex personality. . . In my own compositions, no conscious effort has been made to be original, or Romantic, or Nationalistic, or anything else. . . What I try to do, when writing down my music, is to make it say simply and directly that which is in my heart when I am composing. If there is love there, or bitterness, or sadness, or religion, these moods become a part of my music, and it becomes either beautiful or bitter or sad or religious.[1]

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[1]Quoted in Bertensson and Leyda, 368-69, from an interview with David Ewen in *The Etude* (Dec., 1941).

APPENDIX A

Summary of the Forms in Op. 39

ETUDE	FORM	COMMENTS
Etude No. 1 in C minor	ABA'	Displays sonata form tendencies; tonally unstable B section contains a retransition. Internal transition in A' leads to home tonality of C minor.
Etude No. 2 in A minor	ABA'	Mm. 14-17 of section A foreshadow C major tonality at the beginning of section B. Large sections are articulated by dominant chords, retransition prepares the return of A.
Etude No. 3 in F♯ minor	ABA'	Displays sonata form tendencies; section A progresses from i-V; section B contains a retransition to prepare the dramatic return of A (A').
Etude No. 4 in B minor	AB coda	Section A ends on a v/B minor; section B is longer and harmonically less stable than A; ends with an extensive coda.
Etude No. 5 in E♭ minor	ABA' coda	Transition at the end of section A progresses from i-V; retransition in section B prepares the dramatic return of A. Brief return of section B material in the coda, transposed to tonic, suggests sonata form.
Etude No. 6 in A minor	ABA'	Exhibits a high degree of motivic unity. Section B is tonally unstable; dramatic return of section A (A').
Etude No. 7 in C minor	(AB)	Ambiguous formal plan; essentially binary in design, though ternary, rondo, and one-part plans are also suggested. Most explicitly programmatic.

APPENDIX A (Continued)

Etude No. 8 in D minor	ABA' coda	Foreshadowing of B section tonalities in section A; B section is tonally unstable. Dramatic return of section A (A').
Etude No. 9 in D major	ABA'	Tonally *unstable* A section; tonally *stable* B section. Foreshadowing of B section tonality in section A. Transition links section B to an abbreviated return of section A (A').

APPENDIX B

Editions of Op. 39

The firm of Aleksandr Gutheil of Moscow (later continued by Aleksandr's son, Karl) was Rachmaninoff's publisher until 1917, the year he departed from Russia. As mentioned in Chapter One, the Gutheil firm enlisted the aid of Breitkopf and Härtel (Leipzig) in order to gain international copyright protection. After Karl Gutheil's death in 1914, the firm was purchased by Serge Koussevitsky, and it became 'Édition Russe de Musique'. Rachmaninoff's nine *Etudes-Tableaux*, Op. 39, were originally published by Éditions Russe de Musique in 1917 (with copyright in the United States and Great Britain held by J.& W. Chester of London). Opus 39 was later re-engraved by Röder of Leipzig and published again in 1920. According to musicologists Robert Threlfall and Geoffrey Norris:

> After the composer's death in 1943 almost all the hitherto-unpublished early works were issued by the Music Section of the State Publishing House in Moscow (MUZGIZ) under the principal editorship of Pavel A. Lamm. Later, a Collected Edition of the piano works, under the same editorship, also appeared from this publisher. . .
>
> The Koussevitsky catalog, including all the Gutheil and Édition Russe de Musique publications of Rachmaninoff's works, was transferred in 1947 to Boosey & Hawkes, Inc., now Boosey & Hawkes Music Publishers, Limited; by them, the items in question are being kept in regular circulation. [1]

(Continued)

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[1]Robert Threlfall and Geoffrey Norris, *A Catalogue of the Compositions of S. Rachmaninoff* (London: Scolar Press, 1982), 20-22.

APPENDIX B (Continued)

Rachmaninoff's manuscript of Op. 39 is housed in the State Central Glinka Museum of Musical Culture (Moscow). Since a facsimile of the autograph was not available to me, the Boosey & Hawkes edition (1985), perhaps the most authoritative, was used for the following comparison of four other well-known editions of Op. 39. Along with the Boosey & Hawkes edition, the following survey includes those published by Belwin Mills (CPP/Belwin), Dover Publications, Inc., International Music Co., and Music Corporation of America (MCA). Of these five, three turned out to be virtually identical, those of Boosey & Hawkes, Belwin Mills, and International Music Co. It should be noted that the original sources for the editions by Belwin Mills, International, and MCA are not stated in their respective scores.

Belwin Mills Publishing Corporation (CPP/Belwin; Copyright, 1969, Kalmus) - This edition of Op.39 is very similar to the Boosey & Hawkes score; However, no editorial notes are given.

Boosey & Hawkes Music Publishers, Ltd. (Copyright, 1985) - Contains both Op. 33 (1-8) and Op. 39 (1-9). "Introduction and Performance Notes" by Peter Donohoe and publishers notes that briefly describe the history of the edition are included. The sources used are the original editions by Gutheil (for Op. 33) and Édition Russe de Musique (for Op. 39). Rachmaninoff's own fingerings for several passages are kept intact. This is perhaps the most scholarly edition that is currently available.

(Continued)

APPENDIX B (Continued)

Dover Publications, Inc. (Copyright, 1988) - Contains the complete *Preludes* (Ops. 23 and 32) and *Etudes-Tableaux* (Ops. 33 and 39). The sources are from a republication of music from *Socineniya dlya fortepiano*, vols. 1 (Preludes) and 2 (Etudes-Tableaux), published by Izdatil'stvo "Muzyka", Moscow, 1975 and 1976, respectively. The score of the Op. 39 etudes, specifically, is marred by several discrepencies with the original edition (i.e. Boosey & Hawke's score), consisting primarily of omitted dynamic markings. Additionally, the print is slightly smaller than that of other editions, often causing a cluttered appearance.

International Music Company (Copyright 1948) - This fine edition also closely follows the Boosey & Hawkes score; no editorial notes are given.

Music Corporation of America (MCA, Copyright, 1950, edited by Alfred Mirovitch). Contains both Ops. 33 and 39. The introductory notes by Mirovitch are outdated, though interesting. Mirovitch inaccurately states that Rachmaninoff supplied pedal markings for only one of his works, the *Moment Musical in E minor,* Op. 16, no. 4; actually, Rachmaninoff also gives pedallings at the end of the *Etudes-Tableaux in C major and D minor*, Op. 33 no. 2, and Op. 39, no. 8, respectively. Throughout the score, Mirovitch supplies many of his own pedal markings, several of which should be viewed skeptically. For example, in the *Etude-Tableau in D minor,* Op. 39, no. 8, mm. 91ff., Mirovitch writes 'senza ped.'; however, this would result in an inappropriately dry sound quality for the passage. This edition is also marred somewhat by discrepencies with the original edition, consisting mostly of omitted dynamic markings.

APPENDIX C

Discography[2]

The following list includes only complete recordings of Rachmaninoff's nine *Etudes-Tableaux*, Op. 39. Older recordings that have not yet been transferred to compact disk format are designated NA (not available). Rachmaninoff recorded two of the Op. 39 etudes, nos. 4 (in B minor) and 6 (in A minor), on an Ampico piano roll (c. 1922); these are currently available on a Decca CD (no. 425 964-2); he has also recorded three *Etudes-Tableaux*, Op. 33 (nos. 2, 7, are available on an RCA CD (no. GD 87766). One of the first complete recordings of Op. 39 was made by Warren Perry Thew in 1957 (not currently available). The Russian pianist, Vladimir Ashkenazy has made two different recordings of Op. 39, in 1973 (NA) and 1986, respectively. At this time there are no recordings available of all five *Etudes-Tableaux* that have been orchestrated by O. Respighi.

Performer	Company/ Cat. no.	Format
Ashkenazy, Vladimir	London/CS 6822	Record (NA)
Ashkenazy, Vladimir	London/417671-2	CD
Collard, Jean-Phillipe	EMI/762745-2	CD

(Continued)

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[2]The sources that were used in preparing this list include the *Bielefelder Katalog*, *Diapason*, *Gramophone*, *Schwann (Opus)*, and inter-library listings (OCLC).

APPENDIX C (Continued)

Performer	Company/Cat. no.	Format
Dressler, Olaf	Orfeo/A010821	CD
Golovin, Alexis	Erato/2292-45303-2	CD
Hobson, Ian	Arabesque/Z-6609	CD
Laredo, Ruth	Columbia/M-34532	Record (NA)
Ovchinikov, Vladimir	Angel/CDC-54077	CD
Shaw, Karen	Musical Heritage Society/3671	Record (NA)
Shelly, Howard	Hyperion/CDA-66091	CD
Thew, Warren Perry	Rachmaninoff Society/RS 3	Record (NA)
Thiollier, Francois-Joel	Thesis/THC 82005	CD
Webster, Beveridge	Dover/97284-4	Record (NA)

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----------. S.v. "Liszt, Franz," by Humphrey Searle.

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